

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Redwood City	Division: Golden Gate	Chapter: 8
Inspected by: J. Libby		Date: 06/04/2009

Page 1 of 2

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 8	<input type="checkbox"/> Corrective Action Plan Included <input checked="" type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Due Date:		
Chapter Inspection			
Inspector's Comments Regarding Innovative Practices:			

Command Suggestions for Statewide Improvement:

Currently, there is no AIS entry which allows for tracking of non-collision DUI arrests which meet the criteria for Cost Recovery.

Inspector's Findings:

An Inspection of procedures by the Redwood City Area for the completion and submission CHP 735's was conducted on June 4, 2009. The inspection examined 20 of the 209 events requiring a CHP 735. The Area Management team, Administrative Sergeant and Clerical staff understand the proper procedures involved in the processing of CHP 735's.

Area utilizes a spreadsheet to track CHP 735's. Management has follow up procedures in place to ensure the proper and timely submission of CHP 735's.

Only minor errors were noted and Area is initiating training to ensure proper procedures are followed.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)


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Command: Redwood City	Division: Golden Gate	Chapter: 8
Inspected by: J. Libby		Date: 06/04/2009

Required Action


Corrective Action Plan/Timeline

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 7/7/09
	INSPECTOR'S SIGNATURE	DATE
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE	DATE

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Command: Redwood City	Division: Golden Gate	Number: 330
Evaluated by: Tina Cook, AGPA		Date: 6/2/09
Assisted by: Kelly Kettell		Date: 6/2/2009

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:	
<input checked="" type="checkbox"/> Division Level	<input type="checkbox"/> Command Level	Commander's Signature:  Date: 7/7/09	
<input type="checkbox"/> Office of Inspections	<input type="checkbox"/> Voluntary Self-Inspection		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Follow-Up Inspection BY: _____		
For applicable policies, refer to HPM 11.1, Chapter 6.			

Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.

1. Prior to the performance of services, is the contracting party informed of the rates charged for services, departmental equipment usage, and cancellation policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Does the billing rate include mileage and other expenses such as uniform or equipment damage?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. When a safety service is provided to another state agency, is the agency's five-digit billing code obtained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Only 1 of the 20 records inspected falls under this requirement and code was obtained.
4. Is the billing code documented on the Reimbursable Services Billing Memorandum?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Only 1 of the 20 records inspected falls under this requirement, but the billing code was not present.
5. Is \$50 charged for each CHP uniformed employee assigned to the detail if the cancellation notification is less than 24 hours prior to the scheduled service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Is a minimum payment of 4 hours overtime charged when employee(s) could not be notified of the cancellation of their service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Is information regarding the procedures to obtain necessary right-of-way clearances or permits, local requirements, and other pertinent information made available to inquiring parties?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area is unfamiliar with local requirements.
8. Are written requests for specific services directed to the appropriate command?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are traffic control services less than \$50,000 approved by Division?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Are traffic control services estimated to be \$50,000 or more approved by the Office of the Commissioner?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
11. Are extraordinary protective services approved by the Assistant Commissioner, Field?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

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Questions 12 through 17 pertain to collecting advance deposits				
12. Is a Reimbursable Services Agreement (RSA) log number requested from Division for every contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Is a CHP 465 form completed in accordance with policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are advance payments collected from the contracting company prior to the start of the service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is a CHP 251 prepared and mailed to the contracting company upon receipt of advance payments?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Is a CHP 467 prepared and submitted to the Fiscal Management Section upon completion of the contractual service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 465 attached to the weekly CHP 230, and if applicable, a CHP 169?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Questions 18 through 31 pertain to the preparation of agreements				
18. Is a CHP 466 maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Do RSA numbers begin with the letter "R" to denote reimbursable services, followed by two digit fiscal year, three digit location code, and a sequential number for each agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Is the CHP 466 closed out at the end of each fiscal year with a new log implemented on July 1 beginning with the sequential number 001?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are all sequential numbers accounted for when reconciling with the Billing Memorandum?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are sequential numbers not matching Billing Memorandums reconciled?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Is the original RSA signed and filed at Area?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area has copies in file, which was the policy prior to the February 2009 revision of policy.
24. Does the command proceed with all RSA arrangements, and if needed, ensure the requestor has obtained the necessary right-of-way, clearances, and permits?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area proceeds with RSAs, but does not ensure permits are obtained.
25. Is the indemnification clause included in the agreement when requested?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
26. Is the inclusion of the indemnification clause approved by the Department of General Services, Office of Legal Services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
27. If the service is over \$50,000 per occasion, is a CHP 78R prepared and submitted to Contract Services Unit?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
28. Is a copy of the resolution, order, motion, or ordinance of the local governing body obtained when one of the contracting parties is a county, city, district, or other local public body?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Not applicable to any records reviewed. Area is aware of requirement.
29. Are dignitary protection services referred to the Office of Dignitary Protection?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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30. Are CHP 312 forms, CHP 313 forms, and CHP 467 forms prepared when a statewide agreement is in effect?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No Statewide agreements used.
31. When state agencies are requesting a statewide agreement, are they referred to Enforcement Services Division, Field Support Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Questions 32 through 38 pertain to training agreement procedures and reporting for services provided.				
32. Is a CHP 230 prepared by the contracting party when fees are collected on the day of the training session?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
33. Are the original CHP 467 and contract agreement submitted to Fiscal Management Section (FMS) upon completion of services (other than COZEER, MAZEER, extraordinary protective services, and special projects) within 5 days?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Are copies of CHP 467 forms forwarded to the next level of review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Is the date when the Billing Memorandum was sent to FMS noted on the Reimbursable Services Control Log?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
36. Is a copy of the command's Reimbursable Services Control Log forwarded or e-mailed to the Division Coordinator at the end of each month?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
37. Is the Reimbursable Services Control Log verified with the copies of the Billing Memorandums to ensure all reimbursable time has been reported to FMS for billing purposes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are outstanding items being inspected and resolved?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Questions 39 through 52 pertain to extraordinary protective services and report of overtime hours for reimbursable special projects.				
39. Is a copy of the CHP 467 and CHP 465 submitted to FMS upon completion of extraordinary protective services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
40. Is a reimbursable special project code obtained on every contractual service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
41. Is the overtime report(s) for reimbursable special project(s) used to reconcile CHP 415 forms for each special project?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
42. Are the special project codes on the overtime report(s) verified to ensure the correct special project code has been used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
43. Are all corrections noted on the overtime report(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
44. Are overtime reports approved and dated by the commander after reconciling?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No SPCs used for RSAs other than 63, 50, and COZEER/MAZEER.
45. Is the original overtime report(s) forwarded to FMS?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No SPCs used for RSAs other than 63, 50, and COZEER/MAZEER.

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46. Is a copy of the overtime report forwarded to Division by the 10 th of the month (except COZEEP/MAZEEP)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No SPCs used for RSAs other than 63, 50, and COZEEP/MAZEEP.
47. Are all COZEEP/MAZEEP reports forwarded to Division by the 15 th of the month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: 12 of 20 records were submitted by the 15 th of each month. Delays caused by extension of cutoff for timekeeping.
48. Are all COZEEP/MAZEEP reports approved by Division and forwarded to FMS by the 30 th of the month?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
49. Is a copy of the CHP 71 attached to the overtime report(s) when there are reimbursable nonuniformed personnel hours?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
50. Is an amendment of service agreement requested prior to the fund being depleted, and if necessary, is the service discontinued?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
51. Are all payments made directly to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
52. Does the command require delinquent companies to pay outstanding invoices in full prior to providing any future services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: If Command is aware of delinquency.

REDWOOD CITY AREA

Number of Records Inspected:	20			
Inspected Information	Yes	No	N/A	Remarks
Agency Billing Code included on CHP 467 for Safety Services to other state agencies.		1	19	Agency billing code was provided by other state agency, but not included on CHP 467.
\$50 or 4 hour Cancellation claimed when appropriate.	1		19	Only one record reviewed indicated cancellation of details and the cancellation time was claimed as appropriate.
RSA Number present on Paperwork	20			
CHP 465 Completed	20			
Advance Deposit Obtained.	13	6	1	Either advance deposit (7) or purchase order # (6) obtained.
CHP 251 completed and mailed to contracting company	6	1		Could not verify on one of the advance deposits as there was no paperwork with weekly transmittal.
CHP 467 completed and submitted to FMS	20			All 20 were completed, but none had SPC code noted.
Copy of CHP 465 and, if applicable, CHP 169 attached to weekly transmittal	6	1		One of the 7 advance deposits received did not have the paperwork with the weekly transmittal.
Copy of resolution, order, motion or ordinance of local governing body obtained if contractor is county, city, district or other local public body.		1	19	Only one record inspected falls under this policy. No resolution obtained.
CHP 312 and CHP 313 completed for RSA with state agency		1	19	Only one record inspected was for detail with other state agency. CHP 312 and 313 not completed.
CHP 467 submitted within 5 days	12	8		Late submissions were from 6 to 20 days after end of detail. On time submissions were from 1-5 days, with 9 of the 12 less than 3 days.
Original CHP 465 at Area	20			
SPC obtained/used for every R-Number and Statewide Contract	20			Although an SPC was used for each detail, two details had the wrong code used.
Reconciliation reports used to reconcile SPCs other than 50, 63, and 633 for RSAs.			20	
Reports signed, dated by commander and submitted by 10th to FMS			20	None of the records inspected fell under this policy. This is for RSAs that use SPCs other than 63, 50 or 633.

R-Numbers on CHP 467s match numbers on log.	20			
Permits obtained		19	1	None of the records inspected referenced permits, not even the two film details.
Other remarks: Area is not providing information regarding the procedures to obtain necessary right-of-way-clearances or permits, local requirements, and other pertinent information made available to inquiring parties because they do not have knowledge of				

COZEER/MAZEER Records Inspected.	20			
Inspection Information	Yes	No	N/A	Remarks
SPC Used for OT	20			
\$50 or 4 hour cancellation claimed when appropriate.	20			
Reconciliation report reconciled with 415s	20			
SPCs verified	20			
Corrections noted on Reconciliation Reports	20			
Reconciliation reports approved and dated by by Commander.	20			
Original forwarded to Division by 15th.	10	10		Half of the records inspected were signed and submitted to Division after the 15th of the month. This was most likely due to repeated extensions of cut-off for time keeping, which causes the reports to print later in the month than they should.

RECORDS EXAMINED: 20

[illegible]

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Command: Redwood City	Division: Golden Gate	Chapter: 8
Inspected by: Tina Cook		Date: 6/2/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 10	<input type="checkbox"/> Corrective Action Plan Included <input checked="" type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Due Date:		
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

Command Suggestions for Statewide Improvement:
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Inspector's Findings:

20 of the Area's 33 reimbursable services contracts (RSC) initiated between May 2008 and May 2009 were inspected. Office Technician Kelly Kettell manages the Area RSC program. She routinely communicates with Area Management and is trained. Only minor errors were noted and those were immediately addressed. The most common errors were related to the omission of billing codes or special codes when required.

The Cozeep and Mazeep reports were processed according to policy.

Commander's Response: <input checked="" type="checkbox"/> Concur or <input type="checkbox"/> Do Not Concur (Do Not Concur shall document basis for response)
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Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

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Command: Redwood City	Division: Golden Gate	Chapter: 8
Inspected by: Tina Cook		Date: 6/2/2009

Required Action

Corrective Action Plan/Timeline


None required.

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 7/7/09
	INSPECTOR'S SIGNATURE 	DATE
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE	DATE

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND DUI COST RECOVERY

Command: Redwood City	Division: Golden Gate	Number: 330
Evaluated by: Sergeant J. Libby		Date: 06/04/2009
Assisted by: Sergeant M. Otterby		Date: 6/4/2009

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:	
<input checked="" type="checkbox"/> Division Level	<input type="checkbox"/> Command Level	Commander's Signature: 	
<input type="checkbox"/> Office of Inspections	<input type="checkbox"/> Voluntary Self-Inspection		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Follow-Up Inspection BY: _____		
For applicable policies, refer to HPM 11.1, Chapter 20.		Date: 7/7/09	

Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.

1. Does the command have sufficient procedures to ensure that a CHP 735, Incident Response Reimbursement Statement, is prepared for each arrest that meets the cost recovery criteria?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. What are these procedures?				
<p>After the investigating officer submits the arrest report, the reviewing sergeant verifies whether or not a CHP 735 is required, and if so, if the CHP 735 has been properly submitted. The CHP 735 is forwarded to the arrest report office assistant, and the arrest report is then forwarded to the Court Officer. A copy of the arrest report is stamped "Cost Recovery" by the court officer and forwarded to the arrest report office assistant. CHP 735's ready for managerial review are placed in a folder with an AIS printout listing the enclosed CHP 735's, and are reviewed by the Commander or designee. After signature, they are forwarded to FMS. CHP 735's pending BAC results or District Attorney filing are placed in folders marked as such, with AIS printouts on each of the respective folders. As BAC results arrive, or criminal charges are filed or rejected, the CHP 735 is moved from its current file to the managerial review file. The file number on the AIS printout is then lined out and AIS is updated. This system is backed up by spreadsheets showing outstanding CHP 735's.</p>				
3. Does the command have a specific employee(s) assigned to process all CHP 735 forms?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. If the answer to question 3 of this checklist is yes, is the responsibility of processing all CHP 735 forms listed in their job description or any other document?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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5. Are all CHP 735 forms forwarded to Fiscal Management Section (FMS) properly with completed criteria in either Section A or Section B of the form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Does the command have a suspense system in place to facilitate notification of a conviction involving cases meeting the requirements of the Driving Under the Influence (DUI) Cost Recovery Program? This would involve cases where the following criteria applies: <ul style="list-style-type: none"> • A Blood Alcohol Content (BAC) under .08% • A chemical test is positive for drugs only • There is no supporting BAC test of drug test (i.e., a refusal) 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are CHP 735 forms completed based on the criteria of Section A of the form being forwarded to FMS within ten business days from one of the following dates? <ul style="list-style-type: none"> • The date of BAC results of $\geq .08\%$ were received • The date of BAC results of $\geq .04\%$ were received for a commercial driver 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are CHP 735 forms completed based on the criteria of Section B of the form being forwarded to FMS within ten business days from being notified of a conviction of California Vehicle Sections 23152 or 23153, or greater offence as a result of one of the following? <ul style="list-style-type: none"> • The person arrested refused to provide a chemical test • The arrest was for drugs only • A BAC of $< .08\%$ was obtained 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Is the Itemized Staff Hours section of the CHP 735 completed as required in Highway Patrol Manual 11.1, Administrative Procedures Manual, and includes hours for all employees assigned to the incident?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. If the person arrested is transient, is the case being entered into the CHP 735A, Case Log-DUI Cost Recovery Program, without forwarding the CHP 735 to FMS?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: There have been no reported arrests of transients.
11. Are staff hours involved in the incident recorded on the CHP 735 to the nearest ten minutes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do the total number of staff hours charged on the CHP 735 agree with the appropriate CHP 415, Daily Field Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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13. Does the Notes portion of the CHP 415 indicate the billable DUI time when the CHP 415 includes more than one activity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Officers indicate the name of the in-custody in report time.
14. Are the staff hours incurred by members of the Department for the following activities associated with an incident meeting the criteria for DUI cost recovery included in the CHP 735? <ul style="list-style-type: none"> • Response Time • On-Scene Investigation • Follow-up Investigation • Report Writing • Vehicle Storage • Call Back • Field Sobriety Testing • Transportation • Booking • Chemical Testing • Traffic Control 	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Response time is not consistently included in the CHP 735.
15. Are the staff hours for officers-in-charge, sergeants, lieutenants, or captains listed on the CHP 735 for time spent performing the activities listed in question 12 of this checklist and not exclusively supervisory tasks?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Is the current hourly rate for reimbursement, sent out to all commands via Comm-Net from FMS, being used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 735 being retained at the command and filed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the command utilizing the, optional, CHP 735A to track cases qualifying for the DUI Cost Recovery Program?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. In the absence of a CHP 735A, how is the command tracking the DUI Cost Recovery Program?				
The area uses updated AIS printouts, as well as spreadsheets, to track the DUI Cost Recovery Program.				
20. Are commands using a case monitoring system to track cases qualifying for the DUI Cost Recovery Program including the following information in the monitoring system? <ul style="list-style-type: none"> • Defendant Information • Violation Information • Court Information • FMS Information • BAC test results 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are cases not resulting in a conviction within 12 months after submission to the District Attorney closed out after court verification of case status?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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INSPECTION PROGRAM

CHAPTER 8

COMMAND DUI COST RECOVERY

22. Do closed out cases on the monitoring system have a line drawn through the Conviction Date and Date to FMS as well as the reason the case was closed and date of last follow-up check?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Are refunds or overpayments, as a result of erroneous charges, in an amount of = \$5.00 being processed by the Department?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area does not process CHP 735 overpayments.
24. Is the command reviewing the quarterly reports sent by FMS related to the submission of CHP 735 forms and case status identifying any deficiencies in the submission and accountability of the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Question 25 pertains to Fiscal Management Section				
25. Is FMS reviewing the CHP 735 forms for completeness of information and returning deficient forms to the issuing command for corrections?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

M e m o r a n d u m

Date: August 17, 2009

To: Golden Gate Division

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Contra Costa Area


File No.: 320.10458.13731.ch8

Subject: CHAPTER 8 INSPECTION FINDINGS - CORRECTIVE ACTION PLAN

A Division level inspection of the Contra Costa Area Reimbursable Services program was completed on June 3, 2009. The inspection team found that Area had failed to consistently forward a completed CHP 312 or CHP 313 with each CHP 467 submitted to Fiscal Management Section. In addition, Area had previously entered into a reimbursable contract with a local government entity without first obtaining a resolution, order, or motion. Area immediately established procedures for the appropriate documenting of reimbursable activities and the obtaining of appropriate resolutions or orders prior to entering into contracts with local government.

A Division level inspection of the Contra Costa Area DUI Cost Recovery program was also completed on June 3, 2009. The inspection team found that Area Standard Operating Procedure required updating regarding the proper documenting on the CHP A415 of billable hours, that Area needed to begin noting the date that the completed CHP 735 was sent to Fiscal Management Section by using the space provided, that the Front Desk Officer needed to review the status of pending DUI cases on a weekly basis, and that Area needed to develop a process for closing and purging cases that had not resulted in conviction 12 months after submission to the District Attorney. Area immediately updated Standard Operating Procedure as recommended and instituted processes to comply with the additional findings.

Should you have any questions concerning the contents of this memorandum, please contact me directly at (925) 646-4980. In my absence, Lieutenant Mills may address your concerns.


J. U. CALHOON, Captain
Commander

Attachment(s)

Safety, Service, and Security

Memorandum

Date: June 5, 2009

To: Golden Gate Division

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Golden Gate Division

File No.: 365.14402

Subject: CHAPTER 8 INSPECTIONS - CONTRA COSTA AREA

On June 3, 2009, Golden Gate Division Inspection Team #3; Lt. Shon Harris, Sgt. Braden Moffett, and SSA Jennifer Manlutac inspected Contra Costa Area's in-house DUI cost recovery and Reimbursable Services Agreement procedures. The inspection team was assisted by Contra Costa Area Lt. Steve Mills (Field Operations Officer) and Officer Kyle Pacheco.

The inspection team reviewed a random sample consisting of ten percent of Area's CHP 735s from the previous 12 months and subsequently made the following findings:

Area notes actual BAC results on the CHP 735 rather than only the date they are received as required. If the BAC returns under 0.08%, this practice serves as an alert to responsible personnel to hold the case in suspense rather than close it out as it could possibly still meet Section B criteria if the results indicate that a conviction for 23152(a) may be likely.

Area SOP needs to be further updated to provide specific direction relating to CHP 415 entries. (Note: This discrepancy was immediately corrected by the FOO who is in the process of revising the entire SOP).

Area has failed to note the specific date that cases are forwarded to FMS which prevents local monitoring of the required 10-day turn around time.

It is recommended that the CHP 375 coordinator follow-up on cases with pending BAC results and/or conviction status on a weekly basis rather than the current practice of doing so monthly.

Recommend that the CHP 735 coordinator enter every case into the CHP 735 log rather than only cases that have been forwarded to FMS.

Area was unaware that cases that have not resulted in a conviction within 12 months after submission to the District Attorney should be closed out. Recommend that they begin doing so as outlined in HPM 11.1.

Golden Gate Division

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June 5, 2009

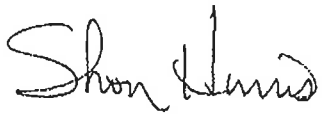
Ten of Contra Costa Area's 24 Reimbursable Services Agreements were reviewed. Area has an effective system in place to ensure all RSAs are processed in a timely fashion and in compliance with policy.

The inspection team provides the following reminders to ensure full compliance with policy:

When a county, city, district, or other local public body, desires to enter into a RSA, remember to obtain a copy of the appropriate resolution, order or motion that permits the public body to enter into a RSA.

When preparing the CHP 467 to send to FMS, remember to attach the CHP 312 (SSP Task Order) and/or a CHP 313 (SSP Daily Report).

All issues are in the process of being remedied by the FOO and Area Commander. It is expected that corrective measures will be in place by June 15, 2009.

 14402.

Shon L. Harris
Lieutenant

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
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Command: Contra Costa	Division: Golden Gate	Chapter: 8
Inspected by: Lt. Shon Harris		Date: 06/03/09

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 10	<input checked="" type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to:	Due Date:	
Chapter Inspection:			

Inspector's Comments Regarding Innovative Practices:

When they are received, Area enters the actual BAC results on the CHP 735 in addition to the date the results are received. While this information is not currently required on the CHP 735, it could serve as an alert to the CHP 735 coordinator to suspense the case while awaiting a possible conviction for 23152(a) rather than closing out the case altogether. Particularly in cases where the suspect had a BAC that was close to 0.08%, the case would then essentially convert to one submitted under Section B criteria.

Command Suggestions for Statewide Improvement:

Inspector's Findings:

The inspection team randomly reviewed 10% of Contra Costa Area's CHP 735s that were submitted between June 3, 2008 and June 3, 2009. Additionally, Area SOP and other supporting documents were reviewed. Field Operations Lieutenant Steve Mills provided guidance, documentation, and answered any questions that surfaced during the inspection. The inspection team made the following findings:

Area SOP adequately explains the CHP 735 process and expectations for Area officers' purposes. SOP does need to be updated to include a requirement that officers include the defendant's name and the case number on each line entry that documents billable time.

Area has not recorded the date that FMS was sent a completed CHP 735 on the Area copy of the CHP 735 or the CHP 735A log. Generally, the date the FOO signed the CHP 735 has been used as a guide to ascertain the date it was sent to FMS. Per FMS, an average of 21 days elapses from the time BAC results are known and/or the conviction is obtained until the completed CHP 735 is received by FMS. The FOO is aware of the issue and has been taking an active roll in lowering the average. He has identified the Area supervisors as a key link in the process and has addressed the issue at Area staff

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Command: Contra Costa	Division: Golden Gate	Chapter: 8
Inspected by: Lt. Shon Harris		Date: 06/03/09

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meetings. He expects the next quarterly report from FMS to show a significant decrease in the turn-around time.

Currently, the front desk officer checks conviction status and/or BAC results on a monthly basis. Recommend that this be completed weekly.

When forwarded a case that meets the criteria for cost recovery, the front desk officer only enters cases that are ready for submission to FMS into the CHP 735A log. Recommend that area enter every case on the CHP 735A which would create a single-source for monitoring the progress of all CHP 735s. Additionally, an entry into the CHP 735A log would enable proper closing out of all cases that have been pending for over 12 months.

Area does not have a process in place to close out cases that have been pending for over 12 months; they are held in suspense indefinitely. Recommend that area begin closing out cases if a conviction has not resulted within 12 months after submission to the District Attorney. Closed out cases should be documented as such consistent with HPM 11.1.

Recommend the Department consider editing the CHP 735 to include a mechanism to designate a CHP 735 as a "Supplemental." This would allow additional billable time to be added at a later date if applicable. For example, if a particular collision requires extensive follow-up and the suspect provided a breath sample, thereby requiring the submission of all billable time within ten days, the option of submitting supplemental investigation time at a later date would allow the Area to meet time constraints by submitting a preliminary CHP 735.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

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Command: Contra Costa	Division: Golden Gate	Chapter: 8
Inspected by: Lt. Shon Harris		Date: 06/03/09

Required Action

Corrective Action Plan/Timeline

- ~ Update Area SOP as specified above.
- ~ Begin noting the date that a completed CHP 735 was sent to FMS.
- ~ Front desk officer to monitor the conviction/BAC status of all pending cases on a weekly basis.
- ~ Area to begin closing out all cases that have not resulted in a conviction within 12 months after submission to the District Attorney.

The above recommendations will be implemented by June 15, 2009.

- ☐ Employee would like to discuss this report with the reviewer.
(See HPM 9.1, Chapter 8 for appeal procedures.)

COMMANDER'S SIGNATURE

DATE

INSPECTOR'S SIGNATURE

DATE

REVIEWER'S SIGNATURE



DATE

- ☒ Reviewer discussed this report with employee
- ☒ Concur ☐ Do not concur

STATE OF CALIFORNIA
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CHAPTER 8
COMMAND DUI COST RECOVERY

Command: Contra Costa	Division: Golden Gate	Number: 320
Evaluated by: Lt. Shon Harris		Date: 06/03/2009
Assisted by: Sgt. Braden Moffett		Date: 06/03/2009

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: 	Date: 6/5/09
For applicable policies, refer to HPM 11.1, Chapter 20.			
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.			
1. Does the command have sufficient procedures to ensure that a CHP 735, Incident Response Reimbursement Statement, is prepared for each arrest that meets the cost recovery criteria?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Remarks:			
2. What are these procedures? CHP 735 procedures are explained in Area SOP. Expectations are reinforced followed-up on as necessary by, Area sergeants, Area court officer, and/or the front desk officer (designated as the Area CHP 735 coordinator).			
3. Does the command have a specific employee(s) assigned to process all CHP 735 forms?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Remarks: Front desk officer.			
4. If the answer to question 3 of this checklist is yes, is the responsibility of processing all CHP 735 forms listed in their job description or any other document?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Remarks: Area SOP			

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CHAPTER 8
COMMAND DUI COST RECOVERY

5. Are all CHP 735 forms forwarded to Fiscal Management Section (FMS) properly with completed criteria in either Section A or Section B of the form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: All of the CHP 735's that were inspected were submitted to FMS with the required criteria.
6. Does the command have a suspense system in place to facilitate notification of a conviction involving cases meeting the requirements of the Driving Under the Influence (DUI) Cost Recovery Program? This would involve cases where the following criteria applies: <ul style="list-style-type: none"> • A Blood Alcohol Content (BAC) under .08% • A chemical test is positive for drugs only • There is no supporting BAC test of drug test (i.e., a refusal) 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The command is utilizing the CHP 735A to track all DUI arrests that require a CHP 735. For cases pending blood results or conviction status, the front desk officer access the Contra Costa County computer network on a monthly basis and updates any pending cases as appropriate.
7. Are CHP 735 forms completed based on the criteria of Section A of the form being forwarded to FMS within ten business days from one of the following dates? <ul style="list-style-type: none"> • The date of BAC results of $\geq .08\%$ were received • The date of BAC results of $\geq .04\%$ were received for a commercial driver 	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: None of Areas CHP 735s or CHP 735A entries had a notation indicating the date on which a completed CHP 735 was sent to FMS. Per FMS, Areas turn around time is 21 days.
8. Are CHP 735 forms completed based on the criteria of Section B of the form being forwarded to FMS within ten business days from being notified of a conviction of California Vehicle Sections 23152 or 23153, or greater offence as a result of one of the following? <ul style="list-style-type: none"> • The person arrested refused to provide a chemical test • The arrest was for drugs only • A BAC of $< .08\%$ was obtained 	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: See above.
9. Is the Itemized Staff Hours section of the CHP 735 completed as required in Highway Patrol Manual 11.1, Administrative Procedures Manual, and includes hours for all employees assigned to the incident?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. If the person arrested is transient, is the case being entered into the CHP 735A, Case Log-DUI Cost Recovery Program, without forwarding the CHP 735 to FMS?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No transient arrests were noted.
11. Are staff hours involved in the incident recorded on the CHP 735 to the nearest ten minutes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do the total number of staff hours charged on the CHP 735 agree with the appropriate CHP 415, Daily Field Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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CHAPTER 8
COMMAND DUI COST RECOVERY

13. Does the Notes portion of the CHP 415 indicate the billable DUI time when the CHP 415 includes more than one activity?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: No CHP 415s indicated a total amount of billable time in the notes section.
14. Are the staff hours incurred by members of the Department for the following activities associated with an incident meeting the criteria for DUI cost recovery included in the CHP 735? <ul style="list-style-type: none"> • Response Time • On-Scene Investigation • Follow-up Investigation • Report Writing • Vehicle Storage • Call Back • Field Sobriety Testing • Transportation • Booking • Chemical Testing • Traffic Control 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Are the staff hours for officers-in-charge, sergeants, lieutenants, or captains listed on the CHP 735 for time spent performing the activities listed in question 12 of this checklist and not exclusively supervisory tasks?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Is the current hourly rate for reimbursement, sent out to all commands via Comm-Net from FMS, being used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The Adobe Forms program automatically enters the current hourly rate.
17. Is a copy of the CHP 735 being retained at the command and filed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the command utilizing the, optional, CHP 735A to track cases qualifying for the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The area is currently using the CHP735A to track all qualifying cases involving a CHP 735.
19. In the absence of a CHP 735A, how is the command tracking the DUI Cost Recovery Program?				
20. Are commands using a case monitoring system to track cases qualifying for the DUI Cost Recovery Program including the following information in the monitoring system? <ul style="list-style-type: none"> • Defendant Information • Violation Information • Court Information • FMS Information • BAC test results 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area uses the CHP 735A for this purpose. However the date that completed CHP 735s are sent to FMS has not been noted.

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 COMMAND DUI COST RECOVERY

21. Are cases not resulting in a conviction within 12 months after submission to the District Attorney closed out after court verification of case status?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Cases remain in suspense indefinitely.
22. Do closed out cases on the monitoring system have a line drawn through the Conviction Date and Date to FMS as well as the reason the case was closed and date of last follow-up check?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: See above.
23. Are refunds or overpayments, as a result of erroneous charges, in an amount of = \$5.00 being processed by the Department?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: If necessary. However Area had not been notified of any overpayments.
24. Is the command reviewing the quarterly reports sent by FMS related to the submission of CHP 735 forms and case status identifying any deficiencies in the submission and accountability of the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Question 25 pertains to Fiscal Management Section.				
25. Is FMS reviewing the CHP 735 forms for completeness of information and returning deficient forms to the issuing command for corrections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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Command: Contra Costa	Division: Golden Gate	Chapter: 8
Inspected by: Jennifer Manlutac		Date: 06/03/09

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 6	<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: Due Date:		
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			
Command Suggestions for Statewide Improvement:			

Inspector's Findings:

Ten of the Area's 24 Reimbursable Services Agreements from May 2008 to May 2009 were inspected. The inspection was conducted by SSA Jennifer Manlutac. She was assisted by SSA Jeri Tilson from Golden Gate Division. Officer Kyle Pacheco of the Contra Costa Area was available to provide information, supplemental documentation, and answer any questions that surfaced.

The inspection team found that Area has not traditionally obtained a copy of the resolution, order, motion, or ordinance of the local governing body when contracting parties is a county, city, district, or other local public body.

Additionally, Area has not attached a CHP 312, Safety Services Program Task Order, and/or a CHP 313, Safety Services Program Daily Report to the CHP 467 when the package is sent to Fiscal Management Section (per HPM 11.1, Chapter 6).

All other elements on which the inspection focused were in order and in compliance with policy.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

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Command: Contra Costa	Division: Golden Gate	Chapter: 8
Inspected by: Jennifer Manlutac		Date: 06/03/09



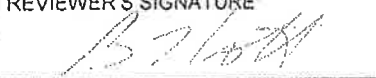
Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

Required Action
Corrective Action Plan/Timeline

Area will begin obtaining a copy of the resolution, order, motion or ordinance of the local governing body when contracting with a county, city, district, or other local public body to comply with policy.

CHP 312 and CHP 313 will be attached to CHP 467 and sent to Fiscal Management Section.

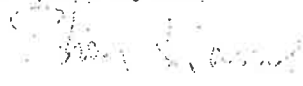

Area plans to have the corrective actions in place by June 15, 2009.

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 6/3/09
	INSPECTOR'S SIGNATURE 	DATE 6/3/09
<input type="checkbox"/> Reviewer discussed this report with employee <input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE 	DATE 6/12/09

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
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CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Command: Contra Costa	Division: Golden Gate	Number: 320
Evaluated by: Jennifer Manlutac		Date: 06/03/09
Assisted by: Officer Kyle Pacheco		Date: 06/03/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:		
<input checked="" type="checkbox"/> Division Level	<input type="checkbox"/> Command Level			
<input type="checkbox"/> Office of Inspections	<input type="checkbox"/> Voluntary Self-Inspection			
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature:	Date:	
For applicable policies, refer to HPM 11.1, Chapter 6.				
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.				
1. Prior to the performance of services, is the contracting party informed of the rates charged for services, departmental equipment usage, and cancellation policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Does the billing rate include mileage and other expenses such as uniform or equipment damage?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. When a safety service is provided to another state agency, is the agency's five-digit billing code obtained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Is the billing code documented on the Reimbursable Services Billing Memorandum?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Is \$50 charged for each CHP uniformed employee assigned to the detail if the cancellation notification is less than 24 hours prior to the scheduled service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Is a minimum payment of 4 hours overtime charged when employee(s) could not be notified of the cancellation of their service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: When necessary
7. Is information regarding the procedures to obtain necessary right-of-way clearances or permits, local requirements, and other pertinent information made available to inquiring parties?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are written requests for specific services directed to the appropriate command?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: When necessary
9. Are traffic control services less than \$50,000 approved by Division?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Are traffic control services estimated to be \$50,000 or more approved by the Office of the Commissioner?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Do not have a contract in place
11. Are extraordinary protective services approved by the Assistant Commissioner, Field?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No extraordinary protective services contracts

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COMMAND REIMBURSABLE SERVICES

Questions 12 through 17 pertain to collecting advance deposits.

12. Is a Reimbursable Services Agreement (RSA) log number requested from Division for every contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Is a CHP 465 form completed in accordance with policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are advance payments collected from the contracting company prior to the start of the service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is a CHP 251 prepared and mailed to the contracting company upon receipt of advance payments?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Is a CHP 467 prepared and submitted to the Fiscal Management Section upon completion of the contractual service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 465 attached to the weekly CHP 230, and if applicable, a CHP 169?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

Questions 18 through 31 pertain to the preparation of agreements.

18. Is a CHP 466 maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Do RSA numbers begin with the letter "R" to denote reimbursable services, followed by two digit fiscal year, three digit location code, and a sequential number for each agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Is the CHP 466 closed out at the end of each fiscal year with a new log implemented on July 1 beginning with the sequential number 001?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are all sequential numbers accounted for when reconciling with the Billing Memorandum?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are sequential numbers not matching Billing Memorandums reconciled?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: All matched
23. Is the original RSA signed and filed at Area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Does the command proceed with all RSA arrangements, and if needed, ensure the requestor has obtained the necessary right-of-way, clearances, and permits?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
25. Is the indemnification clause included in the agreement when requested?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: When necessary
26. Is the inclusion of the indemnification clause approved by the Department of General Services, Office of Legal Services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: When necessary
27. If the service is over \$50,000 per occasion, is a CHP 78R prepared and submitted to Contract Services Unit?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Never had contract over \$50,000
28. Is a copy of the resolution, order, motion, or ordinance of the local governing body obtained when one of the contracting parties is a county, city, district, or other local public body?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Have never kept a copy; will start keeping copies with the contract.
29. Are dignitary protection services referred to the Office of Dignitary Protection?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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30. Are CHP 312 forms, CHP 313 forms, and CHP 467 forms prepared when a statewide agreement is in effect?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Do not keep CHP 312; will start keeping CHP 312
31. When state agencies are requesting a statewide agreement, are they referred to Enforcement Services Division, Field Support Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: When necessary
Questions 32 through 38 pertain to training agreement procedures and reporting for services provided.				
32. Is a CHP 230 prepared by the contracting party when fees are collected on the day of the training session?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No training contact in place
33. Are the original CHP 467 and contract agreement submitted to Fiscal Management Section (FMS) upon completion of services (other than COZEED, MAZEED, extraordinary protective services, and special projects) within 5 days?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Are copies of CHP 467 forms forwarded to the next level of review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Is the date when the Billing Memorandum was sent to FMS noted on the Reimbursable Services Control Log?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
36. Is a copy of the command's Reimbursable Services Control Log forwarded or e-mailed to the Division Coordinator at the end of each month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
37. Is the Reimbursable Services Control Log verified with the copies of the Billing Memorandums to ensure all reimbursable time has been reported to FMS for billing purposes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are outstanding items being inspected and resolved?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Questions 39 through 52 pertain to extraordinary protective services and report of overtime hours for reimbursable special projects.				
39. Is a copy of the CHP 467 and CHP 465 submitted to FMS upon completion of extraordinary protective services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No extraordinary protective services contract in place
40. Is a reimbursable special project code obtained on every contractual service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
41. Is the overtime report(s) for reimbursable special project(s) used to reconcile CHP 415 forms for each special project?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
42. Are the special project codes on the overtime report(s) verified to ensure the correct special project code has been used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
43. Are all corrections noted on the overtime report(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
44. Are overtime reports approved and dated by the commander after reconciling?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
45. Is the original overtime report(s) forwarded to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
46. Is a copy of the overtime report forwarded to Division by the 10 th of the month (except COZEED/MAZEED)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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CHAPTER 8
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47. Are all COZEEP/MAZEEP reports forwarded to Division by the 15 th of the month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
48. Are all COZEEP/MAZEEP reports approved by Division and forwarded to FMS by the 30 th of the month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
49. Is a copy of the CHP 71 attached to the overtime report(s) when there are reimbursable nonuniformed personnel hours?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No nonuniformed reimbursable services overtime
50. Is an amendment of service agreement requested prior to the fund being depleted, and if necessary, is the service discontinued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
51. Are all payments made directly to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
52. Does the command require delinquent companies to pay outstanding invoices in full prior to providing any future services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

Memorandum

Date: September 16, 2009

To: Golden Gate Division

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Napa Area

File No.: 325.12135

Subject: **COMMAND INSPECTION - REIMBURSABLE SERVICES AND DUI COST
RECOVERY**

The Napa Area concurs with the findings of the recent Command inspection conducted by Golden Gate Division. The inspection focused on Reimbursable Services and DUI Cost Recovery and confirmed that the Napa Area was in compliance with departmental policy and procedure regarding these programs.



M. A. RASMUSSEN, Captain
Commander

M e m o r a n d u m

Date: June 19, 2009

To: Golden Gate Division

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Golden Gate Division

File No.: 365.14402

Subject: CHAPTER 8 INSPECTIONS – NAPA AREA

On May 21, 2009, Golden Gate Division Inspection Team #3; Lieutenant Shon Harris, Sergeant Braden Moffett, and Staff Services Analyst Jennifer Manlutac inspected Napa Area's in-house DUI cost recovery and Reimbursable Services Agreement procedures. The inspection team was assisted by Lieutenant Mike Berger and Officer Lisa Paulson of the Napa Area.

The inspection team reviewed 12 of the 120 CHP 735s generated in the Napa Area during the previous 12 months. Area has very thorough procedures in place to ensure the proper generation and processing of CHP 735s. Area uses the CHP 735A to its full extent which ensures compliance with policy relating to tracking, follow-up, and submission of all CHP 735 forms. Area SOP is fully updated to include detailed explanation of policy and flow charts that visually explain each person's role in the processing of the CHP 735.

Napa Area's procedures were very efficient and the inspection team has no recommendations for modification or changes to the Area's current policy. In fact, Napa Area could serve as a "best practices" example relating to processing the CHP 735.

Area processed 46 Reimbursable Services Agreements during the previous 12 months. The inspection team randomly reviewed 10 of the contracts and quickly discovered that Area is in total compliance with policy. The only exception was that a CHP 466, Reimbursable Services Control Log, has not been forwarded to Division as required by policy. This was immediately addressed by the Area Commander.

Napa Area has very thorough, productive, and efficient employees assigned to process the CHP 735 and Reimbursable Service Agreements and it clearly shows.

 14402

Shon L. Harris
Lieutenant

**COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT**

Page 1 of 2

Command: Napa Area	Division: Golden Gate	Chapter: 8
Inspected by: Jennifer Manlutac		Date: 05/21/09

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 8	<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Due Date:		
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

Command Suggestions for Statewide Improvement:

Inspector's Findings:

Ten of the Area's 46 reimbursable service contracts were inspected. Napa Area is very efficient and timely with processing reimbursable services contract paperwork with the exception that a copy of the CHP 466, Reimbursable Services Control Log, has not been mailed or emailed to the Division Coordinator at the end of each month. This procedure was implemented in February 2009.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

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Command: Napa Area	Division: Golden Gate	Chapter: 8
Inspected by: Jennifer Manlutac		Date: 05/21/09

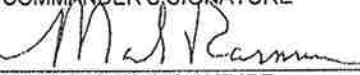
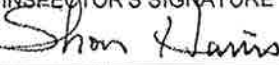
Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

None.

Required Action

Corrective Action Plan/Timeline

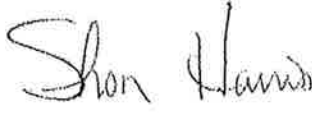
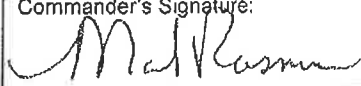
Napa Area will provide the Golden Gate Division Reimbursable Services Coordinator a copy of the CHP effective immediately.

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 5-21-09
	INSPECTOR'S SIGNATURE 	DATE 5-21-09
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE 	DATE 9/30/09

STATE OF CALIFORNIA
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Command: Napa Area	Division: Golden Gate	Number: 325
Evaluated by: Jennifer Manlutac		Date: 05/21/09
Assisted by: Officer Lisa Paulson		Date: 05/21/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:		
<input checked="" type="checkbox"/> Division Level	<input type="checkbox"/> Command Level			
<input type="checkbox"/> Office of Inspections	<input type="checkbox"/> Voluntary Self-Inspection			
Follow-up Required: <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature:	Date:	
			5-21-09	
For applicable policies, refer to HPM 11.1, Chapter 6.				
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.				
1. Prior to the performance of services, is the contracting party informed of the rates charged for services, departmental equipment usage, and cancellation policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Does the billing rate include mileage and other expenses such as uniform or equipment damage?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. When a safety service is provided to another state agency, is the agency's five-digit billing code obtained?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No other state agency contract
4. Is the billing code documented on the Reimbursable Services Billing Memorandum?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No contract required DGS billing code
5. Is \$50 charged for each CHP uniformed employee assigned to the detail if the cancellation notification is less than 24 hours prior to the scheduled service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Is a minimum payment of 4 hours overtime charged when employee(s) could not be notified of the cancellation of their service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Is information regarding the procedures to obtain necessary right-of-way clearances or permits, local requirements, and other pertinent information made available to inquiring parties?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are written requests for specific services directed to the appropriate command?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: When necessary
9. Are traffic control services less than \$50,000 approved by Division?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Are traffic control services estimated to be \$50,000 or more approved by the Office of the Commissioner?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are extraordinary protective services approved by the Assistant Commissioner, Field?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No extraordinary protective service contract

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INSPECTION PROGRAM
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Questions 12 through 17 pertain to collecting advance deposits.

12. Is a Reimbursable Services Agreement (RSA) log number requested from Division for every contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Is a CHP 465 form completed in accordance with policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are advance payments collected from the contracting company prior to the start of the service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is a CHP 251 prepared and mailed to the contracting company upon receipt of advance payments?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Is a CHP 467 prepared and submitted to the Fiscal Management Section upon completion of the contractual service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 465 attached to the weekly CHP 230, and if applicable, a CHP 169?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

Questions 18 through 31 pertain to the preparation of agreements.

18. Is a CHP 466 maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Do RSA numbers begin with the letter "R" to denote reimbursable services, followed by two digit fiscal year, three digit location code, and a sequential number for each agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Is the CHP 466 closed out at the end of each fiscal year with a new log implemented on July 1 beginning with the sequential number 001?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are all sequential numbers accounted for when reconciling with the Billing Memorandum?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are sequential numbers not matching Billing Memorandums reconciled?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The numbers all matched
23. Is the original RSA signed and filed at Area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Does the command proceed with all RSA arrangements, and if needed, ensure the requestor has obtained the necessary right-of-way, clearances, and permits?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
25. Is the indemnification clause included in the agreement when requested?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: When necessary
26. Is the inclusion of the indemnification clause approved by the Department of General Services, Office of Legal Services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: When necessary
27. If the service is over \$50,000 per occasion, is a CHP 78R prepared and submitted to Contract Services Unit?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
28. Is a copy of the resolution, order, motion, or ordinance of the local governing body obtained when one of the contracting parties is a county, city, district, or other local public body?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: When necessary
29. Are dignitary protection services referred to the Office of Dignitary Protection?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: When necessary

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INSPECTION PROGRAM

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COMMAND REIMBURSABLE SERVICES

30. Are CHP 312 forms, CHP 313 forms, and CHP 467 forms prepared when a statewide agreement is in effect?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No statewide contract
31. When state agencies are requesting a statewide agreement, are they referred to Enforcement Services Division, Field Support Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: When necessary
Questions 32 through 38 pertain to training agreement procedures and reporting for services provided.				
32. Is a CHP 230 prepared by the contracting party when fees are collected on the day of the training session?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No training contracts in place
33. Are the original CHP 467 and contract agreement submitted to Fiscal Management Section (FMS) upon completion of services (other than COZEEL, MAZEEL, extraordinary protective services, and special projects) within 5 days?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Are copies of CHP 467 forms forwarded to the next level of review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Is the date when the Billing Memorandum was sent to FMS noted on the Reimbursable Services Control Log?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
36. Is a copy of the command's Reimbursable Services Control Log forwarded or e-mailed to the Division Coordinator at the end of each month?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area has not submitted a RS Control log to Division.
37. Is the Reimbursable Services Control Log verified with the copies of the Billing Memorandums to ensure all reimbursable time has been reported to FMS for billing purposes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are outstanding items being inspected and resolved?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No outstanding items
Questions 39 through 52 pertain to extraordinary protective services and report of overtime hours for reimbursable special projects.				
39. Is a copy of the CHP 467 and CHP 465 submitted to FMS upon completion of extraordinary protective services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No extraordinary protective services contract
40. Is a reimbursable special project code obtained on every contractual service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
41. Is the overtime report(s) for reimbursable special project(s) used to reconcile CHP 415 forms for each special project?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
42. Are the special project codes on the overtime report(s) verified to ensure the correct special project code has been used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
43. Are all corrections noted on the overtime report(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
44. Are overtime reports approved and dated by the commander after reconciling?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
45. Is the original overtime report(s) forwarded to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
46. Is a copy of the overtime report forwarded to Division by the 10 th of the month (except COZEEL/MAZEEL)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
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INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

47. Are all COZEEP/MAZEPP reports forwarded to Division by the 15 th of the month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
48. Are all COZEPP/MAZEPP reports approved by Division and forwarded to FMS by the 30 th of the month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
49. Is a copy of the CHP 71 attached to the overtime report(s) when there are reimbursable nonuniformed personnel hours?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable nonuniformed overtime
50. Is an amendment of service agreement requested prior to the fund being depleted, and if necessary, is the service discontinued?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Never had to deal with an amendment of service agreement
51. Are all payments made directly to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Checks payable to CHP
52. Does the command require delinquent companies to pay outstanding invoices in full prior to providing any future services?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area would not know if a company is delinquent.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Napa	Division: Golden Gate	Chapter: 8
Inspected by: Lt. Shon Harris		Date: 05/21/09

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INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level	Total hours expended on the inspection: 12	<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Due Date:	

Chapter Inspection:

Inspector's Comments Regarding Innovative Practices:

Napa area uses a color-coded preliminary "working copy" of the CHP 735 that is attached to every DUI arrest report. This prompts the clerical staff to make an entry in the CHP 735 log and initiates the tracking process. The completed CHP 735 is attached to the final draft of the collision report indicating that no more billable time is expected on the case. Each CHP 735 is reviewed by the shift sergeant and the lieutenant before it is forwarded to the clerical staff for processing. This practice is very efficient and incorporates checks and balances to ensure accuracy and integrity of the billing process.

Command Suggestions for Statewide Improvement:

Inspector's Findings:

Napa Area is very efficient and has thoroughly documented the CHP 735 process in SOP. The SOP explains the necessary elements of a completed CHP 375 and includes flow charts to assist personnel in understanding the different variables involved (ie: processing forms based on Section A vs. Section B criteria). The inspection revealed no problems with the processing of CHP 735s in the Napa Area.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Napa	Division: Golden Gate	Chapter: 8
Inspected by: Lt. Shon Harris		Date: 05/21/09

Page 2 of 2

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

Required Action

Corrective Action Plan/Timeline

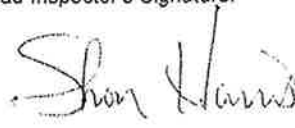
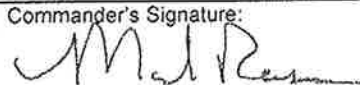
None.

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 5-21-09
	INSPECTOR'S SIGNATURE 	DATE 5-21-09
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE 	DATE 9.30.09

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND DUI COST RECOVERY

Command: Napa	Division: Golden Gate	Number: 325
Evaluated by: Lt. Shon Harris		Date: 05/21/09
Assisted by: Sgt. Braden Moffett		Date: 05/21/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: 
For applicable policies, refer to HPM 11.1, Chapter 20.		Date: 5-21-09	
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.			
1. Does the command have sufficient procedures to ensure that a CHP 735, Incident Response Reimbursement Statement, is prepared for each arrest that meets the cost recovery criteria?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> N/A
2. What are these procedures? CHP 735 procedures and expectations are thoroughly addressed in Area SOP (Section 4.18). The arresting officer generates a preliminary CHP 735 for every arrest. The preliminary copy prompts the CHP 735 clerk to make an entry on the CHP 735A. The completed CHP 735 is attached to the completed collision report and processed by clerical staff. All cases that have BAC results or a conviction pending are placed in suspense and followed-up on regularly.		Remarks:	
3. Does the command have a specific employee(s) assigned to process all CHP 735 forms?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> N/A
4. If the answer to question 3 of this checklist is yes, is the responsibility of processing all CHP 735 forms listed in their job description or any other document?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> N/A

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

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CHAPTER 8

COMMAND DUI COST RECOVERY

5. Are all CHP 735 forms forwarded to Fiscal Management Section (FMS) properly with completed criteria in either Section A or Section B of the form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Does the command have a suspense system in place to facilitate notification of a conviction involving cases meeting the requirements of the Driving Under the Influence (DUI) Cost Recovery Program? This would involve cases where the following criteria applies: <ul style="list-style-type: none"> A Blood Alcohol Content (BAC) under .08% A chemical test is positive for drugs only There is no supporting BAC test of drug test (i.e., a refusal) 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are CHP 735 forms completed based on the criteria of Section A of the form being forwarded to FMS within ten business days from one of the following dates? <ul style="list-style-type: none"> The date of BAC results of $\geq .08\%$ were received The date of BAC results of $\geq .04\%$ were received for a commercial driver 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are CHP 735 forms completed based on the criteria of Section B of the form being forwarded to FMS within ten business days from being notified of a conviction of California Vehicle Sections 23152 or 23153, or greater offence as a result of one of the following? <ul style="list-style-type: none"> The person arrested refused to provide a chemical test The arrest was for drugs only A BAC of $< .08\%$ was obtained 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Is the Itemized Staff Hours section of the CHP 735 completed as required in Highway Patrol Manual 11.1, Administrative Procedures Manual, and includes hours for all employees assigned to the incident?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. If the person arrested is transient, is the case being entered into the CHP 735A, Case Log-DUI Cost Recovery Program, without forwarding the CHP 735 to FMS?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
11. Are staff hours involved in the incident recorded on the CHP 735 to the nearest ten minutes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do the total number of staff hours charged on the CHP 735 agree with the appropriate CHP 415, Daily Field Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

CHAPTER 8

COMMAND DUI COST RECOVERY

13. Does the Notes portion of the CHP 415 indicate the billable DUI time when the CHP 415 includes more than one activity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are the staff hours incurred by members of the Department for the following activities associated with an incident meeting the criteria for DUI cost recovery included in the CHP 735? <ul style="list-style-type: none"> • Response Time • On-Scene Investigation • Follow-up Investigation • Report Writing • Vehicle Storage • Call Back • Field Sobriety Testing • Transportation • Booking • Chemical Testing • Traffic Control 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Are the staff hours for officers-in-charge, sergeants, lieutenants, or captains listed on the CHP 735 for time spent performing the activities listed in question 12 of this checklist and not exclusively supervisory tasks?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Is the current hourly rate for reimbursement, sent out to all commands via Comm-Net from FMS, being used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The rate is automatically entered by the Adobe computer program.
17. Is a copy of the CHP 735 being retained at the command and filed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the command utilizing the, optional, CHP 735A to track cases qualifying for the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. In the absence of a CHP 735A, how is the command tracking the DUI Cost Recovery Program?				
20. Are commands using a case monitoring system to track cases qualifying for the DUI Cost Recovery Program including the following information in the monitoring system? <ul style="list-style-type: none"> • Defendant Information • Violation Information • Court Information • FMS Information • BAC test results 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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INSPECTION PROGRAM

CHAPTER 8

COMMAND DUI COST RECOVERY

21. Are cases not resulting in a conviction within 12 months after submission to the District Attorney closed out after court verification of case status?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Cases are placed in a "Long Term Suspense" file and followed-up on weekly.
22. Do closed out cases on the monitoring system have a line drawn through the Conviction Date and Date to FMS as well as the reason the case was closed and date of last follow-up check?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
23. Are refunds or overpayments, as a result of erroneous charges, in an amount of = \$5.00 being processed by the Department?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area has not experienced an overpayment situation
24. Is the command reviewing the quarterly reports sent by FMS related to the submission of CHP 735 forms and case status identifying any deficiencies in the submission and accountability of the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Question 25 pertains to Fiscal Management Section.				
25. Is FMS reviewing the CHP 735 forms for completeness of information and returning deficient forms to the issuing command for corrections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT**

Command: Nimitz IF	Division: Golden Gate	Chapter: 8
Inspected by: Lt. Shon Harris		Date: 05/26/09

Page 1 of 2

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 6	<input checked="" type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: Due Date:		
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

Command Suggestions for Statewide Improvement:

Inspector's Findings:

Nimitz Inspection Facility has not experienced an incident requiring the processing of a CHP 735 in over a year. Per Area SOP, all collisions are investigated by the host Area, Hayward CHP. The processing of CHP 735s, if applicable, would be handled by the CHP 735 clerk at Hayward Area.

Nimitz Inspection Facility SOP directs all personnel to complete a CHP 735 when necessary. It is recommended that the SOP be updated to include more detailed procedures and/or specific reference to policy contained in HPM 11.1. Specific attention should be paid to proper and detailed CHP 415 entries since Area personnel would likely expend billable time on a DUI collision investigated by Hayward Area personnel. The Area commander was provided with a sample of recommended SOP verbiage.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

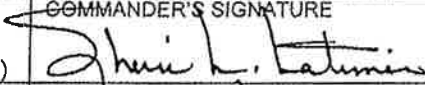
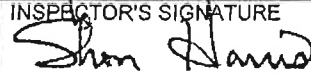
Page 2 of 2

Command: Nimitz IF	Division: Golden Gate	Chapter: 8
Inspected by: Lt. Shon Harris		Date: 05/26/09

Required Action

Corrective Action Plan/Timeline

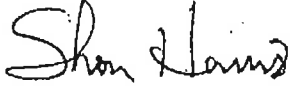
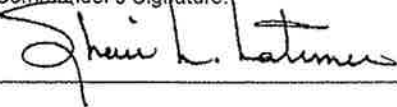
Area SOP will be updated immediately to incorporate the above recommendations.

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 5-26-09
	INSPECTOR'S SIGNATURE 	DATE 5-26-09
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE	DATE

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND DUI COST RECOVERY

Command: Nimitz IF	Division: Golden Gate	Number: 347
Evaluated by: Lt. Shon Harris		Date: 05/26/09
Assisted by: Sgt. Braden Moffett		Date: 05/26/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: 
Date: 5-26-09			
For applicable policies, refer to HPM 11.1, Chapter 20.			
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.			
1. Does the command have sufficient procedures to ensure that a CHP 735, Incident Response Reimbursement Statement, is prepared for each arrest that meets the cost recovery criteria?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:
2. What are these procedures? CHP 735 procedures are addressed in the Area SOP. While the Area handles DUI arrests, the host Area, Hayward CHP, handles all collisions that occur in the facility. 100% of DUI arrests were reviewed through the beginning of 2006. No DUI arrests met the criteria which required completion of a CHP 735. Hayward Area was contacted and reported no DUI PCF collisions from Nimitz Inspection Facility in the last 12 months.			
3. Does the command have a specific employee(s) assigned to process all CHP 735 forms?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:
4. If the answer to question 3 of this checklist is yes, is the responsibility of processing all CHP 735 forms listed in their job description or any other document?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks: Sergeant's collateral duties. Duty assigned as required per CommNet.

STATE OF CALIFORNIA
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INSPECTION PROGRAM

CHAPTER 8

COMMAND DUI COST RECOVERY

5. Are all CHP 735 forms forwarded to Fiscal Management Section (FMS) properly with completed criteria in either Section A or Section B of the form?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Host Area processes all CHP 735s
6. Does the command have a suspense system in place to facilitate notification of a conviction involving cases meeting the requirements of the Driving Under the Influence (DUI) Cost Recovery Program? This would involve cases where the following criteria applies: <ul style="list-style-type: none"> A Blood Alcohol Content (BAC) under .08% A chemical test is positive for drugs only There is no supporting BAC test of drug test (i.e., a refusal) 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Handled by Hayward Area.
7. Area CHP 735 forms completed based on the criteria of Section A of the form being forwarded to FMS within ten business days from one of the following dates? <ul style="list-style-type: none"> The date of BAC results of $\geq .08\%$ were received The date of BAC results of $\geq .04\%$ were received for a commercial driver 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Handled by Hayward Area.
8. Area CHP 735 forms completed based on the criteria of Section B of the form being forwarded to FMS within ten business days from being notified of a conviction of California Vehicle Sections 23152 or 23153, or greater offence as a result of one of the following? <ul style="list-style-type: none"> The person arrested refused to provide a chemical test The arrest was for drugs only A BAC of $< .08\%$ was obtained 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Handled by Hayward Area.
9. Is the Itemized Staff Hours section of the CHP 735 completed as required in Highway Patrol Manual 11.1, Administrative Procedures Manual, and includes hours for all employees assigned to the incident?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No cases reported. However, Area SOP will be updated to ensure compliance.
10. If the person arrested is transient, is the case being entered into the CHP 735A, Case Log-DUI Cost Recovery Program, without forwarding the CHP 735 to FMS?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
11. Are staff hours involved in the incident recorded on the CHP 735 to the nearest ten minutes?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reported cases.
12. Do the total number of staff hours charged on the CHP 735 agree with the appropriate CHP 415, Daily Field Record?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reported cases.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

CHAPTER 8

COMMAND DUI COST RECOVERY

13. Does the Notes portion of the CHP 415 indicate the billable DUI time when the CHP 415 includes more than one activity?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reported cases.
14. Are the staff hours incurred by members of the Department for the following activities associated with an incident meeting the criteria for DUI cost recovery included in the CHP 735? <ul style="list-style-type: none"> • Response Time • On-Scene Investigation • Follow-up Investigation • Report Writing • Vehicle Storage • Call Back • Field Sobriety Testing • Transportation • Booking • Chemical Testing • Traffic Control 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reported cases.
15. Are the staff hours for officers-in-charge, sergeants, lieutenants, or captains listed on the CHP 735 for time spent performing the activities listed in question 12 of this checklist and not exclusively supervisory tasks?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reported cases.
16. Is the current hourly rate for reimbursement, sent out to all commands via Comm-Net from FMS, being used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: when applicable. Hourly rate is automated in the Adobe Program.
17. Is a copy of the CHP 735 being retained at the command and filed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Maintained at host Area.
18. Is the command utilizing the, optional, CHP 735A to track cases qualifying for the DUI Cost Recovery Program?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Maintained at host Area.
19. In the absence of a CHP 735A, how is the command tracking the DUI Cost Recovery Program? Hayward CHP handles the processing of CHP 735s for the Nimitz Inspection Facility and maintains the CHP 735 log.				
20. Are commands using a case monitoring system to track cases qualifying for the DUI Cost Recovery Program including the following information in the monitoring system? <ul style="list-style-type: none"> • Defendant Information • Violation Information • Court Information • FMS Information • BAC test results 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Maintained at host Area.
21. Are cases not resulting in a conviction within 12 months after submission to the District Attorney closed out after court verification of case status?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reported cases.
22. Do closed out cases on the monitoring system have a line drawn through the Conviction Date and Date to FMS as well as the reason the case was closed and	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reported cases

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INSPECTION PROGRAM

CHAPTER 8

COMMAND DUI COST RECOVERY

date of last follow-up check?				
23. Are refunds or overpayments, as a result of erroneous charges, in an amount of = \$5.00 being processed by the Department?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reported cases.
24. Is the command reviewing the quarterly reports sent by FMS related to the submission of CHP 735 forms and case status identifying any deficiencies in the submission and accountability of the DUI Cost Recovery Program?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Host Area staff reviews quarterly reports when applicable.
Question 25 pertains to Fiscal Management Section.				
25. Is FMS reviewing the CHP 735 forms for completeness of information and returning deficient forms to the issuing command for corrections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Handled by host Area when applicable.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Nimitz IF	Division: Golden Gate	Chapter: 8
Inspected by: Jennifer Manlutac		Date: 05/26/09

Page 1 of 2

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 3	<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Due Date:		
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

Command Suggestions for Statewide Improvement:

Inspector's Findings:

Nimitz Inspection Facility does not have Reimbursable Services Contract. Nine 2008 COZEEP/MAZEEP reports were inspected, and one report for 2007 was inspected. There is no COZEEP/MAZEEP reported for 2009. Nimitz Inspection Facility is very efficient and timely in processing the COZEEP/MAZEEP reports. The procedures in processing the COZEEP/MAZEEP reports were in compliance with policy.

Commander's Response: ☐ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

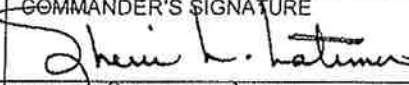
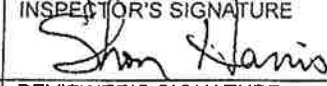
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Command: Nimitz IF	Division: Golden Gate	Chapter: 8
Inspected by: Jennifer Manlutac		Date: 05/26/09

Required Action

Corrective Action Plan/Timeline



None.

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 5-26-09
	INSPECTOR'S SIGNATURE 	DATE 5-26-09
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE	DATE

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Command: Nimitz IF	Division: Golden Gate	Number: 347
Evaluated by: Jennifer Manlutac		Date: 05/26/09
Assisted by: Nieves Evangelista		Date: 05/26/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: 
Date: 5-26-09			
For applicable policies, refer to HPM 11.1, Chapter 6.			
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.			
1. Prior to the performance of services, is the contracting party informed of the rates charged for services, departmental equipment usage, and cancellation policy?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: No reimbursable services contract for this Area.
2. Does the billing rate include mileage and other expenses such as uniform or equipment damage?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: No reimbursable services
3. When a safety service is provided to another state agency, is the agency's five-digit billing code obtained?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: No reimbursable services
4. Is the billing code documented on the Reimbursable Services Billing Memorandum?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: No reimbursable services
5. Is \$50 charged for each CHP uniformed employee assigned to the detail if the cancellation notification is less than 24 hours prior to the scheduled service?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: No reimbursable services
6. Is a minimum payment of 4 hours overtime charged when employee(s) could not be notified of the cancellation of their service(s)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: No reimbursable services
7. Is information regarding the procedures to obtain necessary right-of-way clearances or permits, local requirements, and other pertinent information made available to inquiring parties?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: No reimbursable services
8. Are written requests for specific services directed to the appropriate command?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: No reimbursable services
9. Are traffic control services less than \$50,000 approved by Division?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: No reimbursable services
10. Are traffic control services estimated to be \$50,000 or more approved by the Office of the Commissioner?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: No reimbursable services
11. Are extraordinary protective services approved by the Assistant Commissioner, Field?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: No reimbursable services

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Questions 12 through 17 pertain to collecting advance deposits.

12. Is a Reimbursable Services Agreement (RSA) log number requested from Division for every contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
13. Is a CHP 465 form completed in accordance with policy?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
14. Are advance payments collected from the contracting company prior to the start of the service?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
15. Is a CHP 251 prepared and mailed to the contracting company upon receipt of advance payments?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
16. Is a CHP 467 prepared and submitted to the Fiscal Management Section upon completion of the contractual service(s)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
17. Is a copy of the CHP 465 attached to the weekly CHP 230, and if applicable, a CHP 169?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services

Questions 18 through 31 pertain to the preparation of agreements.

18. Is a CHP 466 maintained?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
19. Do RSA numbers begin with the letter "R" to denote reimbursable services, followed by two digit fiscal year, three digit location code, and a sequential number for each agreement?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
20. Is the CHP 466 closed out at the end of each fiscal year with a new log implemented on July 1 beginning with the sequential number 001?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
21. Are all sequential numbers accounted for when reconciling with the Billing Memorandum?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
22. Are sequential numbers not matching Billing Memorandums reconciled?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
23. Is the original RSA signed and filed at Area?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
24. Does the command proceed with all RSA arrangements, and if needed, ensure the requestor has obtained the necessary right-of-way, clearances, and permits?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
25. Is the indemnification clause included in the agreement when requested?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
26. Is the inclusion of the indemnification clause approved by the Department of General Services, Office of Legal Services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
27. If the service is over \$50,000 per occasion, is a CHP 78R prepared and submitted to Contract Services Unit?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
28. Is a copy of the resolution, order, motion, or ordinance of the local governing body obtained when one of the contracting parties is a county, city, district, or other local public body?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
29. Are dignitary protection services referred to the Office of Dignitary Protection?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

30. Are CHP 312 forms, CHP 313 forms, and CHP 467 forms prepared when a statewide agreement is in effect?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
31. When state agencies are requesting a statewide agreement, are they referred to Enforcement Services Division, Field Support Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
Questions 32 through 38 pertain to training agreement procedures and reporting for services provided.				
32. Is a CHP 230 prepared by the contracting party when fees are collected on the day of the training session?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
33. Are the original CHP 467 and contract agreement submitted to Fiscal Management Section (FMS) upon completion of services (other than COZEEL, MAZEEL, extraordinary protective services, and special projects) within 5 days?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
34. Are copies of CHP 467 forms forwarded to the next level of review?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
35. Is the date when the Billing Memorandum was sent to FMS noted on the Reimbursable Services Control Log?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
36. Is a copy of the command's Reimbursable Services Control Log forwarded or e-mailed to the Division Coordinator at the end of each month?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
37. Is the Reimbursable Services Control Log verified with the copies of the Billing Memorandums to ensure all reimbursable time has been reported to FMS for billing purposes?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
38. Are outstanding items being inspected and resolved?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
Questions 39 through 52 pertain to extraordinary protective services and report of overtime hours for reimbursable special projects.				
39. Is a copy of the CHP 467 and CHP 465 submitted to FMS upon completion of extraordinary protective services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services.
40. Is a reimbursable special project code obtained on every contractual service?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
41. Is the overtime report(s) for reimbursable special project(s) used to reconcile CHP 415 forms for each special project?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
42. Are the special project codes on the overtime report(s) verified to ensure the correct special project code has been used?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
43. Are all corrections noted on the overtime report(s)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
44. Are overtime reports approved and dated by the commander after reconciling?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
45. Is the original overtime report(s) forwarded to FMS?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
46. Is a copy of the overtime report forwarded to Division by the 10 th of the month (except COZEEL/MAZEEL)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

CHAPTER 8

COMMAND REIMBURSABLE SERVICES

47. Are all COZEEP/MAZEEP reports forwarded to Division by the 15 th of the month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
48. Are all COZEEP/MAZEEP reports approved by Division and forwarded to FMS by the 30 th of the month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
49. Is a copy of the CHP 71 attached to the overtime report(s) when there are reimbursable nonuniformed personnel hours?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
50. Is an amendment of service agreement requested prior to the fund being depleted, and if necessary, is the service discontinued?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
51. Are all payments made directly to FMS?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services
52. Does the command require delinquent companies to pay outstanding invoices in full prior to providing any future services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable services

M e m o r a n d u m

Date: June 10, 2009

To: Golden Gate Division

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Golden Gate Division

File No.: 365.14402

Subject: CHAPTER 8 INSPECTIONS - SAN FRANCISCO AREA

On May 27, 2009, Golden Gate Division Inspection Team #3; Lt. Shon Harris, Sgt. Braden Moffett, and SSA Jennifer Manlutac inspected San Francisco Area's in-house DUI cost recovery and Reimbursable Services Agreement procedures. The inspection team was assisted by San Francisco Lt. Dane Lobb, Officer Sue Farrell, Officer Tony Tam, and Officer Michael Sheets.

The inspection team reviewed a random sample consisting of ten percent of Area's CHP 735s from the previous 12 months and subsequently made the following findings:

Area processing CHP 735s was inconsistent and unreliable until approximately 3 months before the inspections. At that time, Lt. Lobb conducted a self-inspection and began to remedy the problems he observed. Prior to Lt. Lobb's inspection, Area did not have a system in place to ensure that a CHP 735 was initiated. All cases in which one was submitted were processed, but not necessarily within the required time constraints. Area did not have a tracking system in place other than a file that contained all submitted/pending CHP 735s.

The inspection determined that CHP 415s associated with a CHP 735 did not have the defendant's name and the case number indicated on each billable line entry. Additionally, the total billable time was not indicated in the notes section of the CHP 415s. Accordingly, Area SOP needs to be further updated to provide specific direction relating to CHP 415 entries.

The Area Commander and Administrative Lieutenant have worked together to develop a plan to remedy all discrepancies in policy and procedure. Area has provided CHP 735 training to all sergeants, is now consistently utilizing the CHP 735A, Area SOP relating to DUI Cost Recovery is in the process of being updated to include more specific instructions and expectations, Area plans to review the CHP 735 process in detail at an upcoming training day, and Area has assigned an individual to begin a review of all DUI cases under one year old to confirm that a CHP 735 was prepared, if applicable, and if not, to address the possibility of initiating the cost recovery process.

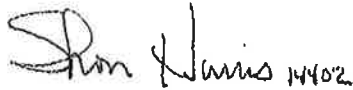
Golden Gate Division

Page 2

June 10, 2009

Ten of San Francisco Area's 42 Reimbursable Services Agreements were reviewed. Area has an effective system in place to ensure all RSAs are processed in a timely fashion and in compliance with policy. Area had one traffic control request that totaled more than \$50,000. For an unknown reason, there was a delay in obtaining written approval from the Office of the Commissioner. However, after several attempts to obtain approval, Area proceeded with the detail to avoid adversely affecting allied agencies and private businesses who had a large amount of resources already devoted to the event.

All exceptions noted in the inspection are in the process of being remedied by the FOO and Area Commander. It is expected that corrective measures will be in place by July 31, 2009.

Handwritten signature of Shon L. Harris in black ink, with the number 14402 written below it.

Shon L. Harris
Lieutenant

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: San Francisco	Division: Golden Gate	Chapter: 8
Inspected by: Lt. Shon Harris		Date: 05/29/09

Page 1 of 2

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 16	<input checked="" type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to:	Due Date:	
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

Command Suggestions for Statewide Improvement:

Inspector's Findings:

Until recently, Area did not consistently initiate or track CHP 735s. As such it is quite possible that cases that meet the criteria for cost recovery have been overlooked. Several CHP 415 line entries did not include the name of the defendant or case number and the total billable time was not noted in the notes section. Multiple billable activities were often included in one CHP 415 line entry but differentiated on the associated CHP 735.

However, prior to the inspection, the Area Commander and Administrative Lieutenant have worked together to develop a plan to remedy all of the above observations. On May 6, 2009, Area provided CHP 735 training to all sergeants. Additionally, Area is now utilizing the CHP 735A, Area SOP relating to DUI Cost Recovery is in the process of being updated to include more specific instructions and expectations, Area plans to review the CHP 735 process in detail at an upcoming training day, and Area has assigned an individual to begin a review of all DUI cases under one year old to confirm that a CHP 735 was prepared, if applicable, and if not, to address the possibility of initiating the cost recovery process.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

**COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT**

Page 2 of 2

Command: San Francisco	Division: Golden Gate	Chapter: 8
Inspected by: Lt. Shon Harris		Date: 05/29/09

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

Required Action

Corrective Action Plan/Timeline

Area has begun all necessary corrective action and plans to have all measures in place by July 31, 2009.


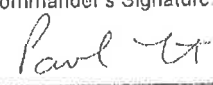
A/CHIEF LEONARD HAS REQUESTED THE COMMANDER'S
CONNECTIVE ACTION PLAN BY 8:20-09

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE <i>Paul G</i>	DATE 5/29/09
	INSPECTOR'S SIGNATURE <i>Shon Harris</i>	DATE 5-29-09
<input checked="" type="checkbox"/> Reviewer discussed this report with employee	REVIEWER'S SIGNATURE <i>[Signature]</i>	DATE 8-7-09
<input type="checkbox"/> Concur <input type="checkbox"/> Do not concur		

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Command: San Francisco	Division: Golden Gate	Number: 335
Evaluated by: Jennifer Manlutac		Date: 05/27/09
Assisted by: Officer Sue Farrell		Date: 05/27/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION				Lead Inspector's Signature:	
<input checked="" type="checkbox"/> Division Level		<input type="checkbox"/> Command Level			
<input type="checkbox"/> Office of Inspections		<input type="checkbox"/> Voluntary Self-Inspection			
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-Up Inspection BY: _____		Commander's Signature: 	
				Date: 5/29/09	
For applicable policies, refer to HPM 11.1, Chapter 6.					
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.					
1. Prior to the performance of services, is the contracting party informed of the rates charged for services, departmental equipment usage, and cancellation policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
2. Does the billing rate include mileage and other expenses such as uniform or equipment damage?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
3. When a safety service is provided to another state agency, is the agency's five-digit billing code obtained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
4. Is the billing code documented on the Reimbursable Services Billing Memorandum?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
5. Is \$50 charged for each CHP uniformed employee assigned to the detail if the cancellation notification is less than 24 hours prior to the scheduled service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
6. Is a minimum payment of 4 hours overtime charged when employee(s) could not be notified of the cancellation of their service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
7. Is information regarding the procedures to obtain necessary right-of-way clearances or permits, local requirements, and other pertinent information made available to inquiring parties?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
8. Are written requests for specific services directed to the appropriate command?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
9. Are traffic control services less than \$50,000 approved by Division?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:	
10. Are traffic control services estimated to be \$50,000 or more approved by the Office of the Commissioner?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area had one contract over \$50,000 and sought approval multiple times without receiving a response before the detail began	

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Questions 12 through 17 pertain to collecting advance deposits.

12. Is a Reimbursable Services Agreement (RSA) log number requested from Division for every contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Is a CHP 465 form completed in accordance with policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are advance payments collected from the contracting company prior to the start of the service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is a CHP 251 prepared and mailed to the contracting company upon receipt of advance payments?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Is a CHP 467 prepared and submitted to the Fiscal Management Section upon completion of the contractual service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 465 attached to the weekly CHP 230, and if applicable, a CHP 169?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Will be working towards compliance with policy

Questions 18 through 31 pertain to the preparation of agreements.

18. Is a CHP 466 maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Do RSA numbers begin with the letter "R" to denote reimbursable services, followed by two digit fiscal year, three digit location code, and a sequential number for each agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Is the CHP 466 closed out at the end of each fiscal year with a new log implemented on July 1 beginning with the sequential number 001?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are all sequential numbers accounted for when reconciling with the Billing Memorandum?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are sequential numbers not matching Billing Memorandums reconciled?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The numbers all matched.
23. Is the original RSA signed and filed at Area?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Copies of CHP 465 are filed at Area per previous policy.
24. Does the command proceed with all RSA arrangements, and if needed, ensure the requestor has obtained the necessary right-of-way, clearances, and permits?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
25. Is the indemnification clause included in the agreement when requested?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: When necessary
26. Is the inclusion of the indemnification clause approved by the Department of General Services, Office of Legal Services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: When necessary
27. If the service is over \$50,000 per occasion, is a CHP 78R prepared and submitted to Contract Services Unit?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
28. Is a copy of the resolution, order, motion, or ordinance of the local governing body obtained when one of the contracting parties is a county, city, district, or other local public body?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Newly implemented

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

28. Is a copy of the resolution, order, motion, or ordinance of the local governing body obtained when one of the contracting parties is a county, city, district, or other local public body?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
29. Are dignitary protection services referred to the Office of Dignitary Protection?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
30. Are CHP 312 forms, CHP 313 forms, and CHP 467 forms prepared when a statewide agreement is in effect?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
31. When state agencies are requesting a statewide agreement, are they referred to Enforcement Services Division, Field Support Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Questions 32 through 38 pertain to training agreement procedures and reporting for services provided.				
32. Is a CHP 230 prepared by the contracting party when fees are collected on the day of the training session?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area does not process training requests.
33. Are the original CHP 467 and contract agreement submitted to Fiscal Management Section (FMS) upon completion of services (other than COZEED, MAZEED, extraordinary protective services, and special projects) within 5 days?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Are copies of CHP 467 forms forwarded to the next level of review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Is the date when the Billing Memorandum was sent to FMS noted on the Reimbursable Services Control Log?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
36. Is a copy of the command's Reimbursable Services Control Log forwarded or e-mailed to the Division Coordinator at the end of each month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
37. Is the Reimbursable Services Control Log verified with the copies of the Billing Memorandums to ensure all reimbursable time has been reported to FMS for billing purposes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are outstanding items being inspected and resolved?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area does not have any outstanding items
Questions 39 through 52 pertain to extraordinary protective services and report of overtime hours for reimbursable special projects.				
39. Is a copy of the CHP 467 and CHP 465 submitted to FMS upon completion of extraordinary protective services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area does not process extraordinary protective services
40. Is a reimbursable special project code obtained on every contractual service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
41. Is the overtime report(s) for reimbursable special project(s) used to reconcile CHP 415 forms for each special project?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
42. Are the special project codes on the overtime report(s) verified to ensure the correct special project code has been used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
43. Are all corrections noted on the overtime report(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

44. Are overtime reports approved and dated by the commander after reconciling?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
45. Is the original overtime report(s) forwarded to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
46. Is a copy of the overtime report forwarded to Division by the 10 th of the month (except COZEED/MAZEED)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
47. Are all COZEED/MAZEED reports forwarded to Division by the 15 th of the month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
48. Are all COZEED/MAZEED reports approved by Division and forwarded to FMS by the 30 th of the month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
49. Is a copy of the CHP 71 attached to the overtime report(s) when there are reimbursable nonuniformed personnel hours?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No reimbursable nonuniformed overtime
50. Is an amendment of service agreement requested prior to the fund being depleted, and if necessary, is the service discontinued?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area has never encountered this situation
51. Are all payments made directly to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
52. Does the command require delinquent companies to pay outstanding invoices in full prior to providing any future services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area would not know if a company is delinquent

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COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Page 1 of 3

Command: San Francisco	Division: Golden Gate	Chapter: 8
Inspected by: Jennifer Manlutac		Date: 05/28/09

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 8	<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to:	Due Date:	
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

Command Suggestions for Statewide Improvement:

Inspector's Findings:

Ten of Area's 42 reimbursable services contracts initiated between May 2008 and May 2009 were inspected. Area's overtime coordinator also coordinates all reimbursable services contracts. She communicates often with the administrative lieutenant and is supported by a well-trained clerical staff. All inspected contracts and associated documents were in order and prepared per policy with a single technical exception.

Area received and processed a request for traffic control services at a movie detail that totaled more than \$50,000. Area submitted multiple requests for approval to the Office of the Commissioner as required, but did not receive a response before the deadline. The decision was made to go ahead with the detail due to the extensive number of allied agencies, resources, and other support personnel who were in place and prepared to proceed.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
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EXCEPTIONS DOCUMENT

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Command: San Francisco	Division: Golden Gate	Chapter: 8
Inspected by: Jennifer Manlutac		Date: 05/28/09

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

Required Action

Corrective Action Plan/Timeline

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE <i>Paul</i>	DATE <i>5/29/09</i>
	INSPECTOR'S SIGNATURE <i>Shon Harris</i>	DATE <i>5-29-09</i>
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE <i>J.P.</i>	DATE <i>8-7-09</i>

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

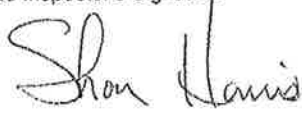
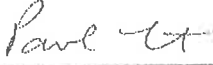
Page 3 of 3

Command: San Francisco	Division: Golden Gate	Chapter 8
Inspected by: Jennifer Manlutac		Date: 05/28/09

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND DUI COST RECOVERY

Command: San Francisco	Division: Golden Gate	Number: 335
Evaluated by: Lt. Shon Harris		Date: 05/29/09
Assisted by: Sgt. Braden Moffitt		Date: 05/29/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: 	Date: 5/29/09
For applicable policies, refer to HPM 11.1, Chapter 20.			
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.			
1. Does the command have sufficient procedures to ensure that a CHP 735, Incident Response Reimbursement Statement, is prepared for each arrest that meets the cost recovery criteria?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
2. What are these procedures? The preparation of a CHP 735 has been inconsistent historically. Particularly in cases not involving a collision (ie: "Be On the Lookout" broadcast). If one of the Area court officers observed that a CHP 735 was not attached to a DUI report, he requested a completed form from the arresting officer and/or the arresting officer's supervisor. However, no further follow-up was conducted. However, Area has recently began to put extensive corrective measures in place to include revision of the Area SQP. training road patrol officers, sergeants, court officers, and clerical staff. As of approximately 04/15/09, area sergeants require a CHP 735 be attached to all applicable DUI arrest reports without exception. The applicable court officer then makes an entry into the CHP 735A log which creates an efficient and effective tracking/suspense system. Timely follow-up is conducted as needed (BAC results and/or conviction status).			
3. Does the command have a specific employee(s) assigned to process all CHP 735 forms?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks: Two court officers and one non-uniformed employee
4. If the answer to question 3 of this checklist is yes, is the responsibility of processing all CHP 735 forms listed in their job description or any other document?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks: Area SOP

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

CHAPTER 8

COMMAND DUI COST RECOVERY

5. Are all CHP 735 forms forwarded to Fiscal Management Section (FMS) properly with completed criteria in either Section A or Section B of the form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Does the command have a suspense system in place to facilitate notification of a conviction involving cases meeting the requirements of the Driving Under the Influence (DUI) Cost Recovery Program? This would involve cases where the following criteria applies: <ul style="list-style-type: none"> A Blood Alcohol Content (BAC) under .08% A chemical test is positive for drugs only There is no supporting BAC test of drug test (i.e., a refusal) 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are CHP 735 forms completed based on the criteria of Section A of the form being forwarded to FMS within ten business days from one of the following dates? <ul style="list-style-type: none"> The date of BAC results of $\geq .08\%$ were received The date of BAC results of $\geq .04\%$ were received for a commercial driver 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are CHP 735 forms completed based on the criteria of Section B of the form being forwarded to FMS within ten business days from being notified of a conviction of California Vehicle Sections 23152 or 23153, or greater offence as a result of one of the following? <ul style="list-style-type: none"> The person arrested refused to provide a chemical test The arrest was for drugs only A BAC of $< .08\%$ was obtained 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Is the Itemized Staff Hours section of the CHP 735 completed as required in Highway Patrol Manual 11.1, Administrative Procedures Manual, and includes hours for all employees assigned to the incident?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. If the person arrested is transient, is the case being entered into the CHP 735A, Case Log-DUI Cost Recovery Program, without forwarding the CHP 735 to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are staff hours involved in the incident recorded on the CHP 735 to the nearest ten minutes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do the total number of staff hours charged on the CHP 735 agree with the appropriate CHP 415, Daily Field Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

CHAPTER 8

COMMAND DUI COST RECOVERY

13. Does the Notes portion of the CHP 415 indicate the billable DUI time when the CHP 415 includes more than one activity?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Corrective action being taken.
14. Are the staff hours incurred by members of the Department for the following activities associated with an incident meeting the criteria for DUI cost recovery included in the CHP 735? <ul style="list-style-type: none"> • Response Time • On-Scene Investigation • Follow-up Investigation • Report Writing • Vehicle Storage • Call Back • Field Sobriety Testing • Transportation • Booking • Chemical Testing • Traffic Control 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Are the staff hours for officers-in-charge, sergeants, lieutenants, or captains listed on the CHP 735 for time spent performing the activities listed in question 12 of this checklist and not exclusively supervisory tasks?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Is the current hourly rate for reimbursement, sent out to all commands via Comm-Net from FMS, being used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 735 being retained at the command and filed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the command utilizing the, optional, CHP 735A to track cases qualifying for the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Historically used sporadically. Area has implemented effective corrective measures
19. In the absence of a CHP 735A, how is the command tracking the DUI Cost Recovery Program?				
20. Are commands using a case monitoring system to track cases qualifying for the DUI Cost Recovery Program including the following information in the monitoring system? <ul style="list-style-type: none"> • Defendant Information • Violation Information • Court Information • FMS Information • BAC test results 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area currently uses the CHP 735A to track pending cases

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

CHAPTER 8

COMMAND DUI COST RECOVERY

21. Are cases not resulting in a conviction within 12 months after submission to the District Attorney closed out after court verification of case status?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks. No cases currently on file meet this criteria
22. Do closed out cases on the monitoring system have a line drawn through the Conviction Date and Date to FMS as well as the reason the case was closed and date of last follow-up check?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks.
23. Are refunds or overpayments, as a result of erroneous charges, in an amount of = \$5.00 being processed by the Department?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks.
24. Is the command reviewing the quarterly reports sent by FMS related to the submission of CHP 735 forms and case status identifying any deficiencies in the submission and accountability of the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Question 25 pertains to Fiscal Management Section.				
25. Is FMS reviewing the CHP 735 forms for completeness of information and returning deficient forms to the issuing command for corrections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks

M e m o r a n d u m

Date: June 26, 2009

To: Golden Gate Division

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Golden Gate Division

File No.: 301.13154

Subject: CHAPTER 8 INSPECTIONS – SAN JOSE AREA

On June 11, 2009 and June 19, 2009, Golden Gate Division Inspection Team #1; Lieutenant Dane Lobb, Sergeant Jim Libby and AGPA Tina Cook, conducted a Division level inspection. The inspection team utilized the guidelines found in Chapter 8 of HPM 22.1, for this inspection. Furthermore, the team used a CHP form 680U for the inspection. The goal of the inspection was to determine the level of compliance with CHP policy found in Chapter 6 of HPM 11.1, reimbursable services agreements (RSA's) and in Chapter 20 of HPM 11.1 the DUI cost recovery program. AGPA Cook inspected the records and procedures used by the San Jose Area for RSA's. Sergeant Libby reviewed the procedures and inspected the records for San Jose Area's DUI cost recovery program. The inspection team was assisted by San Jose Area personnel who provided requested records.

The inspection team reviewed a random sample consisting of ten percent of Area's CHP 735s from the previous 12 months and subsequently made the following findings:

This inspection found that Area had failed to forward nine of 33 cases to FMS within the required 10-day period. Area did not initially use a CHP 735A to track cases but during the inspection process prepared and completed a 735A. The local Office of the District Attorney did not provide Area with the adjudication of cases in a timely manner making it difficult to determine the outcome of a qualifying case. The Area Administrative Sergeant oversees the 735 program and the management team provides oversight and review. All personnel involved in the tracking of these events have a clear understanding of policy, the process and the deadlines.

Safety, Service, and Security

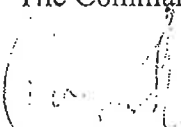
Golden Gate Division

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June 26, 2009

30 Reimbursable Services Agreements were reviewed. Area has an effective system in place to ensure all RSAs are processed in a timely fashion and in compliance with policy. Minor errors were noted as outlined on the attached spreadsheet. Errors found during the inspection were typically data entry omissions. These errors did not have an impact on the processing of the agreements.

The discrepancies found during this inspection were reviewed and discussed with the Command. The Command has initiated appropriate corrective procedures to minimize a reoccurrence.



Dane Lobb
Lieutenant

Attachments

M e m o r a n d u m

Date: August 11, 2009

To: Golden Gate Division

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
San Jose Area

File No.: 340.11167.12719

Subject: CHAPTER 8 EXCEPTIONS

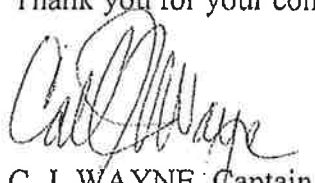
As a result of the recent Chapter 8 inspection conducted by Golden Gate Division, the San Jose Area has instituted the following corrective action:

CHP 735 will be tracked via a CHP 735A form. The CHP 735A form will be cross-referenced with data obtained from the Area Information System to ensure completeness. The CHP 735A form and Area Information System will be reviewed periodically by Area management. The Area administrative sergeant will verify CHP 735 forms for completeness and accuracy when compared to submitted CHP A415 forms. Field sergeants and officers have received training at briefings and staff meetings regarding completion of CHP 735 forms.

The San Jose Area Reimbursable Services Coordinator and Supervisor are fully aware of the requirements of forwarding the reimbursable services log to Golden Gate Division as required by policy. The administrative sergeant has a "suspense" file in place to provide verification.

If you have further questions, please contact myself or Lieutenant Spencer Boyce at (408) 467-5400.

Thank you for your continuing support.



C. J. WAYNE, Captain
Commander

Safety, Service, and Security

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Santa Rosa	Division: Golden Gate	Chapter: 8
Inspected by: J. Libby		Date: 06/10/2009

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INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 8	<input type="checkbox"/> Corrective Action Plan Included <input checked="" type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to:		
	Due Date:		

Chapter Inspection:

Inspector's Comments Regarding Innovative Practices:

The Lieutenant reviewing and signing CHP 735's will reduce the amount billed on the CHP 735 if the time spent on the DUI investigation is excessive.

The Santa Rosa Area will send memoranda out to Officers who have transferred out, yet still need to submit either CHP 415's or CHP 735's.

Command Suggestions for Statewide Improvement:

Santa Rosa Area has suggested a fixed rate for reimbursement for CHP 735's. This amount would be a guideline and could be adjusted for unusual circumstances.
Currently, there is no AIS entry which allows for tracking of non-collision DUI arrests which meet the criteria for Cost Recovery.

Inspector's Findings:

An Inspection of procedures for the completion and submission CHP 735's was conducted on June 10, 2009. The inspection examined 26 of the 260 events requiring a CHP 735. The Area Management team and court officer understand the proper procedures involved in the processing of CHP 735's.

Area utilizes a CHP 735A to ensure the proper and timely submission of CHP 735's.

10. There have been no reported arrests of transients.

23. Area does not process CHP 735 overpayments.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: San Jose	Division: Golden Gate	Chapter: 8
Inspected by: Jim Libby		Date: 06/19/2009

Page 1 of 2

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 16	<input type="checkbox"/> Corrective Action Plan Included <input checked="" type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Due Date:		
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

Command Suggestions for Statewide Improvement: Currently, there is no AIS entry which allows for tracking of non-collision DUI arrests which meet the criteria for Cost Recovery.
--

Inspector's Findings: An Inspection of procedures by the San Jose Area for the completion and submission CHP 735's was conducted on June 19, 2009, and June 23, 2009. The inspection examined 33 of the 337 events which required the preparation of a CHP 735. The Area Management team, Administrative Sergeant and Clerical staff understand the proper procedures involved in the processing of CHP 735's.

Prior to the June 19, 2009, inspection Area did not utilize the CHP 735A for tracking. Area initiated the use of the CHP 735A and has put necessary follow-up procedures into place to track CHP 735 submissions. Area has provided training via briefing items to officers, supervisors, and clerical staff on CHP 735 tracking and submission procedures. Management has follow up procedures in place to ensure the proper and timely submission of CHP 735's.

- 10. There have been no reported arrests of transients.
- 13. The billable DUI time is highlighted on the CHP 415.
- 14. Response time is not consistently included in the CHP 735.
- 19. The Area uses updated AIS printouts to track the DUI Cost Recovery Program.
- 23. Area does not process CHP 735 overpayments.

Commander's Response: <input checked="" type="checkbox"/> Concur or <input type="checkbox"/> Do Not Concur (Do Not Concur shall document basis for response)
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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

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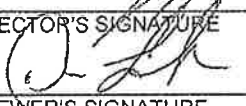
Command: San Jose	Division: Golden Gate	Chapter: 8
Inspected by: Jim Libby		Date: 06/19/2009

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

Required Action
None noted.

Corrective Action Plan/Timeline

None required.

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 7/30/09
	INSPECTOR'S SIGNATURE 	DATE 7/30/09
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE	DATE

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

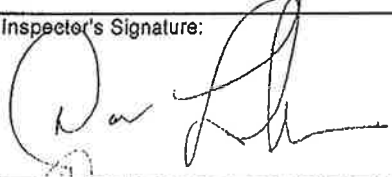
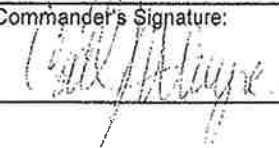
INSPECTION PROGRAM

CHAPTER 8

COMMAND DUI COST RECOVERY

Command: San Jose	Division: Golden Gate	Number: 340
Evaluated by: Sergeant J. Libby		Date: 06/19/2009
Assisted by: Lieutenant D. Lobb		Date: 06/19/2009

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: 	Date: 6/26/09
For applicable policies, refer to HPM 11.1, Chapter 20.			
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.			
1. Does the command have sufficient procedures to ensure that a CHP 735, Incident Response Reimbursement Statement, is prepared for each arrest that meets the cost recovery criteria?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
2. What are these procedures? Each arrest report is accompanied by a tracking sheet which indicates whether or not a CHP 735 is required, and has been completed. The shift Sergeant reviews each arrest report to ensure each report meeting the cost recovery criteria has a CHP 735 completed. The Administrative Sergeant reviews the CHP 735's and ensures they are completed properly.			
3. Does the command have a specific employee(s) assigned to process all CHP 735 forms?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
4. If the answer to question 3 of this checklist is yes, is the responsibility of processing all CHP 735 forms listed in their job description or any other document?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
5. Are all CHP 735 forms forwarded to Fiscal Management Section (FMS) properly with completed criteria in either Section A or Section B of the form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
6. Does the command have a suspense system in place to facilitate notification of a conviction involving cases meeting the requirements of the Driving Under the Influence (DUI) Cost Recovery Program? This would involve cases where the following criteria applies: <ul style="list-style-type: none"> • A Blood Alcohol Content (BAC) under .08% • A chemical test is positive for drugs only • There is no supporting BAC test of drug test (i.e., a refusal) 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks: The Area Court Officer obtains either a court filing or rejection for prosecution, and forwards this information to the Administrative Sergeant.

STATE OF CALIFORNIA
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INSPECTION PROGRAM

CHAPTER 8

COMMAND DUI COST RECOVERY

<p>7. Are CHP 735 forms completed based on the criteria of Section A of the form being forwarded to FMS within ten business days from one of the following dates?</p> <ul style="list-style-type: none"> • The date of BAC results of $\geq .08\%$ were received • The date of BAC results of $\geq .04\%$ were received for a commercial driver 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
<p>8. Are CHP 735 forms completed based on the criteria of Section B of the form being forwarded to FMS within ten business days from being notified of a conviction of California Vehicle Sections 23152 or 23153, or greater offence as a result of one of the following?</p> <ul style="list-style-type: none"> • The person arrested refused to provide a chemical test • The arrest was for drugs only • A BAC of $< .08\%$ was obtained 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
<p>9. Is the Itemized Staff Hours section of the CHP 735 completed as required in Highway Patrol Manual 11.1, Administrative Procedures Manual, and includes hours for all employees assigned to the incident?</p>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
<p>10. If the person arrested is transient, is the case being entered into the CHP 735A, Case Log-DUI Cost Recovery Program, without forwarding the CHP 735 to FMS?</p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: There have been no reported arrests of transients.
<p>11. Are staff hours involved in the incident recorded on the CHP 735 to the nearest ten minutes?</p>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
<p>12. Do the total number of staff hours charged on the CHP 735 agree with the appropriate CHP 415, Daily Field Record?</p>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
<p>13. Does the Notes portion of the CHP 415 indicate the billable DUI time when the CHP 415 includes more than one activity?</p>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The billable DUI time is highlighted on the CHP 415
<p>14. Are the staff hours incurred by members of the Department for the following activities associated with an incident meeting the criteria for DUI cost recovery included in the CHP 735?</p> <ul style="list-style-type: none"> • Response Time • On-Scene Investigation • Follow-up Investigation • Report Writing • Vehicle Storage • Call Back • Field Sobriety Testing • Transportation • Booking • Chemical Testing • Traffic Control 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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CHAPTER 8

COMMAND DUI COST RECOVERY

15. Are the staff hours for officers-in-charge, sergeants, lieutenants, or captains listed on the CHP 735 for time spent performing the activities listed in question 12 of this checklist and not exclusively supervisory tasks?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Is the current hourly rate for reimbursement, sent out to all commands via Comm-Net from FMS, being used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 735 being retained at the command and filed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the command utilizing the, optional, CHP 735A to track cases qualifying for the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. In the absence of a CHP 735A, how is the command tracking the DUI Cost Recovery Program? The area uses updated AIS printouts to track the DUI Cost Recovery Program in addition to the CHP 735A.				
20. Are commands using a case monitoring system to track cases qualifying for the DUI Cost Recovery Program including the following information in the monitoring system? • Defendant Information • Violation Information • Court Information • FMS Information • BAC test results	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are cases not resulting in a conviction within 12 months after submission to the District Attorney closed out after court verification of case status?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Do closed out cases on the monitoring system have a line drawn through the Conviction Date and Date to FMS as well as the reason the case was closed and date of last follow-up check?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Are refunds or overpayments, as a result of erroneous charges, in an amount of = \$5.00 being processed by the Department?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area does not process CHP 735 overpayments.
24. Is the command reviewing the quarterly reports sent by FMS related to the submission of CHP 735 forms and case status identifying any deficiencies in the submission and accountability of the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Question 25 pertains to Fiscal Management Section.				
25. Is FMS reviewing the CHP 735 forms for completeness of information and returning deficient forms to the issuing command for corrections?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

SAN JOSE AREA

Number of Records Inspected:	10			
Inspected Information	Yes	No	N/A	Remarks
Agency Billing Code included on CHP 467 for Safety Services to other state agencies.			10	
\$50 or 4 hour Cancellation claimed when appropriate.	1		9	Only one record reviewed indicated cancellation of details and the cancellation time was claimed as appropriate.
RSA Number present on Paperwork	10			
CHP 465 Completed	10			Two of the records had the CHP and Contractor signatures on separate copies of the CHP 465, when they should both be on the same copy
Advance Deposit Obtained.	8	1	1	Two advance deposits were not obtained one of which was for a public agency, which was not required at the time of the detail (prior to new policy).
CHP 251 completed and mailed to contracting company	4	3	3	Three CHP 251 were not complete when they should have been. One of the 3 that were not applicable was when the check was sent to HQ instead of Area so no CHP 251 was completed.
CHP 467 completed and submitted to FMS	10			
Copy of CHP 465 and, if applicable, CHP 169 attached to weekly transmittal	5	2	3	No record of advance deposit in the weekly transmittal for two of the advance deposit checks obtained.
Copy of resolution, order, motion or ordinance of local governing body obtained if contractor is county, city, district or other local public body.		1	9	Only one record inspected falls under this policy, but detail was done prior to the new policy changes of February 2009.
CHP 312 and CHP 313 completed for RSA with state agency			10	No records inspected fell under this policy, but Area is aware of this policy.
CHP 467 submitted within 5 days	10			All records inspected were submitted within 5 days of the end of the detail.
Original CHP 465 at Area		10		Copies only as per previous policy.
SPC obtained/used for every R-Number and Statewide Contract	10			

Reconciliation reports used to reconcile SPCs other than 50, 63, and 633 for RSAs.			10	Area does not currently work any RSAs under codes other than 50 or 63.
Reports signed, dated by commander and submitted by 10th to FMS			10	
R-Numbers on CHP 467s match numbers on log.	10			
Permits obtained	2	6	2	Two of the records inspected had copies of permits, but the permit numbers were not indicated on the CHP 467.
Other remarks:				

COZEEP/MAZEEP Records Inspected.	20			
Inspection Information:	Yes	No	N/A	Remarks
SPC Used for OT	20			
\$50 or 4 hour cancellation claimed when appropriate.	16		4	
Reconciliation report reconciled with 415s	20			
SPCs verified	20			
Corrections noted on Reconciliation Reports	20			
Reconciliation reports approved and dated by by Commander.	20			
Original forwarded to Division by 15th.	10	10		Half of the records inspected were signed and submitted to Division after the 15th of the month. This was most likely due to repeated extensions of cut-off for time keeping, which causes the reports to print later in the month than they should.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: San Jose	Division: Golden Gate	Chapter: 8
Inspected by: Tina Cook		Date: 6/11/2009

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INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 8	<input type="checkbox"/> Corrective Action Plan Included <input checked="" type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Due Date:		
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			
Command Suggestions for Statewide Improvement:			
Inspector's Findings:			

Twenty of the Area's 42 reimbursable services contracts initiated between May 2008 and May 2009 were inspected.

Inspection checklist item 3 Is not applicable. No records reviewed fell under this policy. Area is aware of this requirement

Inspection checklist item 4 Is not applicable. No records reviewed fell under this policy. Area is aware of this requirement

Inspection checklist item 7 Area indicates that contractors already know this information when they contact the Area.

Inspection checklist item 10 and 11 does not apply. Area is working on one at this time, but it has not been approved at the final level.

Inspection checklist item 15 Three CHP 251's were not completed when they should have been. One of the 3 which was not applicable was when the check was sent to HQ instead of Area and for that reason no CHP 251 was completed.

Inspection checklist item 17 No record of advance deposit in the weekly transmittal for two of the advance deposit checks obtained and one check was sent directly to HQ by the contractor.

Inspection checklist items 25 and 26 are not applicable because there were not qualifying contracts.

Inspection checklist item 30 Is not applicable. No Statewide agreements used.

Inspection checklist item 31 Is not applicable. No request have been made.

Inspection checklist item 32 Is not applicable. No training sessions conducted.

Inspection checklist item 36 : Copy of log is not being sent to Division. This policy was just instituted in February 2009

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: San Jose	Division: Golden Gate	Chapter: 8
Inspected by: Tina Cook		Date: 6/11/2009

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Inspection checklist item 39 Is not applicable. No protection details conducted
Inspection checklist items 45-46 Are not applicable No SPCs used for RSAs other than 63, 50, and COZEED/MAZEED.
Inspection checklist item 47 Half of the reports were submitted late to Division, more than likely because of repeated extensions of cut-off for timekeeping.
Inspection checklist items 48-50 Are not applicable No SPCs used for RSAs other than 63, 50, and COZEED/MAZEED.
Inspection checklist item 52 Area is not aware of delinquent companies.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

Required Action
 Corrective Action Plan/Timeline

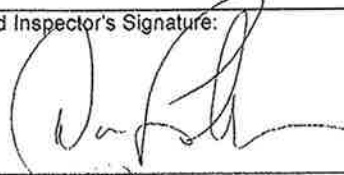
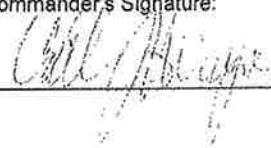
None required.

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 7/30/09
	INSPECTOR'S SIGNATURE 	DATE 7/30/09
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE 	DATE 9/30/09

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Command: San Jose	Division: Golden Gate	Number: 340
Evaluated by: Tina Cook, AGPA		Date: 6/11/09
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: 	Date: 6/24/09	
For applicable policies, refer to HPM 11.1, Chapter 6.				
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.				
1. Prior to the performance of services, is the contracting party informed of the rates charged for services, departmental equipment usage, and cancellation policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Does the billing rate include mileage and other expenses such as uniform or equipment damage?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. When a safety service is provided to another state agency, is the agency's five-digit billing code obtained?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No records reviewed fell under this policy. Area is aware of this requirement.
4. Is the billing code documented on the Reimbursable Services Billing Memorandum?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No records reviewed fell under this policy. Area is aware of this requirement.
5. Is \$50 charged for each CHP uniformed employee assigned to the detail if the cancellation notification is less than 24 hours prior to the scheduled service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Is a minimum payment of 4 hours overtime charged when employee(s) could not be notified of the cancellation of their service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Is information regarding the procedures to obtain necessary right-of-way clearances or permits, local requirements, and other pertinent information made available to inquiring parties?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area indicates that Contractors already know this information when they contact the Area.
8. Are written requests for specific services directed to the appropriate command?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are traffic control services less than \$50,000 approved by Division?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Are traffic control services estimated to be \$50,000 or more approved by the Office of the Commissioner?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area is working on one at this time, but it has not been completed.

STATE OF CALIFORNIA
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INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

11. Are extraordinary protective services approved by the Assistant Commissioner, Field?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
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Questions 12 through 17 pertain to collecting advance deposits.

12. Is a Reimbursable Services Agreement (RSA) log number requested from Division for every contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Is a CHP 465 form completed in accordance with policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are advance payments collected from the contracting company prior to the start of the service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is a CHP 251 prepared and mailed to the contracting company upon receipt of advance payments?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Three CHP 251s were not complete when they should have been. One of the 3 that were not applicable was when the check was sent to HQ instead of Area so no CHP 251 was completed
16. Is a CHP 467 prepared and submitted to the Fiscal Management Section upon completion of the contractual service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 465 attached to the weekly CHP 230, and if applicable, a CHP 169?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: No record of advance deposit in the weekly transmittal for two of the advance deposit checks obtained and one check was sent directly to HQ by the contractor.

Questions 18 through 31 pertain to the preparation of agreements.

18. Is a CHP 466 maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Do RSA numbers begin with the letter "R" to denote reimbursable services, followed by two digit fiscal year, three digit location code, and a sequential number for each agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Is the CHP 466 closed out at the end of each fiscal year with a new log implemented on July 1 beginning with the sequential number 001?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are all sequential numbers accounted for when reconciling with the Billing Memorandum?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are sequential numbers not matching Billing Memorandums reconciled?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Is the original RSA signed and filed at Area?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Only copies on file, as per previous policy.
24. Does the command proceed with all RSA arrangements, and if needed, ensure the requestor has obtained the necessary right-of-way, clearances, and permits?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area proceeds with all RSA arrangements, but does not obtain copies of all required permits.
25. Is the indemnification clause included in the agreement when requested?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
26. Is the inclusion of the indemnification clause approved by the Department of General Services, Office of Legal Services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
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INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

27. If the service is over \$50,000 per occasion, is a CHP 78R prepared and submitted to Contract Services Unit?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
28. Is a copy of the resolution, order, motion, or ordinance of the local governing body obtained when one of the contracting parties is a county, city, district, or other local public body?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: One record inspected fell under this new policy, but the detail was done in the prior fiscal year before policy was effective. Area is aware of the requirement.
29. Are dignitary protection services referred to the Office of Dignitary Protection?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
30. Are CHP 312 forms, CHP 313 forms, and CHP 467 forms prepared when a statewide agreement is in effect?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No records inspected fell under this policy.
31. When state agencies are requesting a statewide agreement, are they referred to Enforcement Services Division, Field Support Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area has not had any requests.
Questions 32 through 38 pertain to training agreement procedures and reporting for services provided.				
32. Is a CHP 230 prepared by the contracting party when fees are collected on the day of the training session?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
33. Are the original CHP 467 and contract agreement submitted to Fiscal Management Section (FMS) upon completion of services (other than COZEEP, MAZEEP, extraordinary protective services, and special projects) within 5 days?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Are copies of CHP 467 forms forwarded to the next level of review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Is the date when the Billing Memorandum was sent to FMS noted on the Reimbursable Services Control Log?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
36. Is a copy of the command's Reimbursable Services Control Log forwarded or e-mailed to the Division Coordinator at the end of each month?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Copy of log is not being sent to Division. This policy was just instituted in February 2009.
37. Is the Reimbursable Services Control Log verified with the copies of the Billing Memorandums to ensure all reimbursable time has been reported to FMS for billing purposes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are outstanding items being inspected and resolved?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Questions 39 through 52 pertain to extraordinary protective services and report of overtime hours for reimbursable special projects.				
39. Is a copy of the CHP 467 and CHP 465 submitted to FMS upon completion of extraordinary protective services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
40. Is a reimbursable special project code obtained on every contractual service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
41. Is the overtime report(s) for reimbursable special project(s) used to reconcile CHP 415 forms for each special project?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
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INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

42. Are the special project codes on the overtime report(s) verified to ensure the correct special project code has been used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
43. Are all corrections noted on the overtime report(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
44. Are overtime reports approved and dated by the commander after reconciling?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
45. Is the original overtime report(s) forwarded to FMS?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
46. Is a copy of the overtime report forwarded to Division by the 10 th of the month (except COZEEP/MAZEEP)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
47. Are all COZEEP/MAZEEP reports forwarded to Division by the 15 th of the month?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Half of the reports were submitted late to Division, more than likely because of repeated extensions of cut-off for timekeeping.
48. Are all COZEEP/MAZEEP reports approved by Division and forwarded to FMS by the 30 th of the month?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
49. Is a copy of the CHP 71 attached to the overtime report(s) when there are reimbursable nonuniformed personnel hours?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
50. Is an amendment of service agreement requested prior to the fund being depleted, and if necessary, is the service discontinued?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
51. Are all payments made directly to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
52. Does the command require delinquent companies to pay outstanding invoices in full prior to providing any future services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area is not aware of delinquent companies.

AREA: 340

TOTAL RECORDS: 337

RECORDS EXAMINED: 33

[illegible]

AREA: 340

TOTAL RECORDS: 337

RECORDS EXAMINED: 33

DATE OF ARREST	DATE 735 SUBMITTED	BAC/DRUG RESULTS	ARREST FOR DUI T/C Y/N	ARREST FOR OTHER EVENT (BOL) Y/N	DATE BAC AVAILABLE	CONVICTION DATE IF APPLICABLE	415 ATTACHED Y/N	415 CORRECT Y/N	NOTES
5/14/2008	5/22/2008	0.22	Y		5/22/2008		Y	Y	
6/8/2008	8/13/2008	0.13	Y	N	8/13/2008		Y	Y	
6/11/2008	NO	0.06	Y	N			N	N	DA rejected
7/25/2008	8/22/2008	0.14/.14	Y	N	7/25/2008		Y	Y	
7/27/2008	9/18/2008	Refusal	Y	N	9/18/2008		Y	Y	
7/30/2008	8/14/2008	0.17	Y	N	8/14/2008		Y	Y	
7/30/2008	8/22/2008	0.28	Y	N	8/22/2008		Y	Y	
8/2/2008	8/22/2008	Refusal	Y	N	8/22/2008		Y	Y	PAS .19/.21
8/2/2008	NO	.06/.07	Y	N			N	N	DA rejected
8/5/2008	NO	0.05	Y	N			N	N	DA rejected
8/6/2008	8/15/2008	0.17	Y	N	8/15/2008		Y	Y	
11/22/2008	12/16/2008	0.08	Y	N	12/16/2008		Y	Y	
11/23/2008	12/16/2008	0.19	Y	N	12/16/2008		Y	Y	
11/26/2008	12/16/2008	0.16	Y	N	12/16/2008		Y	Y	
11/27/2008	12/16/2008	.11/.12	Y	N	11/27/2008		Y	Y	
11/28/2008	12/16/2008	0.12	Y	N	12/16/2008		Y	Y	
11/29/2008	12/16/2008	0.09	Y	N	12/16/2008		Y	Y	
11/29/2008		Refusal	Y	N			N	N	DA rejected
11/30/2008	6/22/2009	0.14	Y	N	6/22/2009		Y	Y	
11/30/2008	12/18/2008	0.20	Y	N	12/18/2008		Y	Y	
2/21/2009	6/22/2009	0.11	Y	N	6/22/2009		Y	Y	
2/22/2009	6/22/2009	0.23	Y	N	6/22/2009		Y	Y	
2/22/2009	6/22/2009	0.15	Y	N	6/22/2009		Y	Y	
3/1/2009	6/22/2009	0.12	Y	N	6/22/2009		Y	Y	
3/1/2009	3/17/2009	0.21	Y	N	3/17/2009		Y	Y	
3/1/2009	4/15/2009	0.24	Y	N	4/15/2009		Y	Y	
3/2/2009	4/15/2009	0.13	Y	N	4/15/2009		Y	Y	

M e m o r a n d u m

Date: May 26, 2009

To: Hayward Area

From: DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
Hayward Area

File No.: 345.11329.13119

Subject: HAYWARD AREA CHAPTER 8 INSPECTION

On May 19, 2009, I conducted an audit of the Hayward Area's Reimbursable Services and DUI Cost Recovery programs. Minor procedural errors were noted in both programs. Area now has procedures in place to correct deficiencies and will continue to perform internal audits to improve the command's efficiency.



R.F. LEAL, Captain
Commander

Safety, Service, and Security

**COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT**

Page 1 of 2

Command: Hayward	Division: Golden Gate	Chapter: 8
Inspected by: Sergeant James Libby		Date: 05/27/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 8	<input type="checkbox"/> Corrective Action Plan Included <input checked="" type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Due Date:		

Chapter Inspection:

Inspector's Comments Regarding Innovative Practices:

Hayward Area has included a section on their Arrest Report Tracking Sheet which requires a sergeant verify the completion and submission of a CHP 735. The sergeant is required to initial and date the Arrest Report Tracking Sheet. Hayward uses an Excel spreadsheet to track their CHP 735's, color coding CHP 735's which are pending completion, correction, BAC results or conviction. This allows an "at a glance" review of incomplete CHP 735's.

Command Suggestions for Statewide Improvement:

Inspector's Findings:

Hayward Area has a verifiable method for tracking and processing CHP 735's. All personnel involved were knowledgeable regarding the Cost Recovery Program.

Commander's Response: ☐ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT
Page 2 of 2

Command: Hayward	Division: Golden Gate	Chapter: 8
Inspected by: Sergeant James Libby		Date: 05/27/2009

Required Action

Corrective Action Plan/Timeline


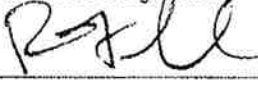
None required.

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE	DATE
	INSPECTOR'S SIGNATURE	DATE
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE	DATE

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Command: Hayward	Division: Golden Gate	Number: 345
Evaluated by: Sergeant K. Briggs, ID 13119		Date: May 19, 2009
Assisted by: OSS1 P. Deo, ID 12357 Officer P. Cheever, ID 17950		Date: May 19, 2009

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: 	Date: 5/26/09
For applicable policies, refer to HPM 11.1, Chapter 6.			
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.			
1. Prior to the performance of services, is the contracting party informed of the rates charged for services, departmental equipment usage, and cancellation policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
2. Does the billing rate include mileage and other expenses such as uniform or equipment damage?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
3. When a safety service is provided to another state agency, is the agency's five-digit billing code obtained?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: Accounting Section obtains this information.
4. Is the billing code documented on the Reimbursable Services Billing Memorandum?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
5. Is \$50 charged for each CHP uniformed employee assigned to the detail if the cancellation notification is less than 24 hours prior to the scheduled service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
6. Is a minimum payment of 4 hours overtime charged when employee(s) could not be notified of the cancellation of their service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
7. Is information regarding the procedures to obtain necessary right-of-way clearances or permits, local requirements, and other pertinent information made available to inquiring parties?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
8. Are written requests for specific services directed to the appropriate command?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
9. Are traffic control services less than \$50,000 approved by Division?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
10. Are traffic control services estimated to be \$50,000 or more approved by the Office of the Commissioner?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: Has Not Occurred.
11. Are extraordinary protective services approved by the Assistant Commissioner, Field?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: Has Not Occurred.

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INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Questions 12 through 17 pertain to collecting advance deposits.

12. Is a Reimbursable Services Agreement (RSA) log number requested from Division for every contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Is a CHP 465 form completed in accordance with policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are advance payments collected from the contracting company prior to the start of the service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is a CHP 251 prepared and mailed to the contracting company upon receipt of advance payments?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Is a CHP 467 prepared and submitted to the Fiscal Management Section upon completion of the contractual service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 465 attached to the weekly CHP 230, and if applicable, a CHP 169?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

Questions 18 through 31 pertain to the preparation of agreements.

18. Is a CHP 466 maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Do RSA numbers begin with the letter "R" to denote reimbursable services, followed by two digit fiscal year, three digit location code, and a sequential number for each agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Is the CHP 466 closed out at the end of each fiscal year with a new log implemented on July 1 beginning with the sequential number 001?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are all sequential numbers accounted for when reconciling with the Billing Memorandum?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are sequential numbers not matching Billing Memorandums reconciled?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Is the original RSA signed and filed at Area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Does the command proceed with all RSA arrangements, and if needed, ensure the requestor has obtained the necessary right-of-way, clearances, and permits?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
25. Is the indemnification clause included in the agreement when requested?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Has Not Occurred
26. Is the inclusion of the indemnification clause approved by the Department of General Services, Office of Legal Services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Has Not Occurred
27. If the service is over \$50,000 per occasion, is a CHP 78R prepared and submitted to Contract Services Unit?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Has Not Occurred
28. Is a copy of the resolution, order, motion, or ordinance of the local governing body obtained when one of the contracting parties is a county, city, district, or other local public body?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Has Not Occurred
29. Are dignitary protection services referred to the Office of Dignitary Protection?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Has Not Occurred

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INSPECTION PROGRAM

CHAPTER 8

COMMAND REIMBURSABLE SERVICES

30. Are CHP 312 forms, CHP 313 forms, and CHP 467 forms prepared when a statewide agreement is in effect?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Has Not Occurred
31. When state agencies are requesting a statewide agreement, are they referred to Enforcement Services Division, Field Support Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Has Not Occurred
Questions 32 through 38 pertain to training agreement procedures and reporting for services provided.				
32. Is a CHP 230 prepared by the contracting party when fees are collected on the day of the training session?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
33. Are the original CHP 467 and contract agreement submitted to Fiscal Management Section (FMS) upon completion of services (other than COZEEP, MAZEPP, extraordinary protective services, and special projects) within 5 days?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Are copies of CHP 467 forms forwarded to the next level of review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Is the date when the Billing Memorandum was sent to FMS noted on the Reimbursable Services Control Log?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
36. Is a copy of the command's Reimbursable Services Control Log forwarded or e-mailed to the Division Coordinator at the end of each month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
37. Is the Reimbursable Services Control Log verified with the copies of the Billing Memorandums to ensure all reimbursable time has been reported to FMS for billing purposes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are outstanding items being inspected and resolved?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Questions 39 through 52 pertain to extraordinary protective services and report of overtime hours for reimbursable special projects.				
39. Is a copy of the CHP 467 and CHP 465 submitted to FMS upon completion of extraordinary protective services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
40. Is a reimbursable special project code obtained on every contractual service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
41. Is the overtime report(s) for reimbursable special project(s) used to reconcile CHP 415 forms for each special project?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
42. Are the special project codes on the overtime report(s) verified to ensure the correct special project code has been used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
43. Are all corrections noted on the overtime report(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
44. Are overtime reports approved and dated by the commander after reconciling?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
45. Is the original overtime report(s) forwarded to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
46. Is a copy of the overtime report forwarded to Division by the 10 th of the month (except COZEPP/MAZEPP)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
 DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
 CHAPTER 8
 COMMAND REIMBURSABLE SERVICES

47. Are all COZEEP/MAZEEP reports forwarded to Division by the 15 th of the month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
48. Are all COZEEP/MAZEEP reports approved by Division and forwarded to FMS by the 30 th of the month?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
49. Is a copy of the CHP 71 attached to the overtime report(s) when there are reimbursable nonuniformed personnel hours?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
50. Is an amendment of service agreement requested prior to the fund being depleted, and if necessary, is the service discontinued?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Has Not Occurred
51. Are all payments made directly to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Forwarded from Area to FMS
52. Does the command require delinquent companies to pay outstanding invoices in full prior to providing any future services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Has Not Occurred.

M e m o r a n d u m

Date: August 24, 2009

To: Golden Gate Division

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Hayward Area

File No.: 345.14995.09-046

Subject: 2009 COMMAND INSPECTIONS, 2nd QUARTER -CHP 735 (DUI COST RECOVERY) INSPECTION - CORRECTIVE ACTION PLAN

On May 27, 2009, a Division-level inspection for the preceding 12-month period was conducted of the CHP 735 (DUI Cost Recovery) files in the Hayward CHP Area. The inspector found that the Hayward Area has a verifiable method for tracking and processing CHP 735's and that all personnel involved were knowledgeable regarding the DUI Cost Recovery program. In response to that inspection, the Hayward Area has created this Corrective Action Plan.

HISTORY:

When the Hayward Area learned that the DUI Cost Recovery program would be inspected, a thorough self inspection was conducted using the checklist contained in Highway Patrol Manual (HPM) 22.1, chapter 8. Several issues were identified. The self inspection revealed the following:

- There was no tracking system in place for CHP 735 forms, however the optional CHP 735A form was being used.
- Fifteen (15) CHP 735 forms from the first quarter of 2009 were inspected. Four (4) CHP 735 forms were submitted in excess of the 10 business day period.
- There was no system in place to determine case dispositions for CHP 735 forms with blood alcohol contents under 0.08, refusals, drug-only arrests, etc.
- CHP 415 forms did not indicate "billable hours" in the notes section as required by policy.
- There was no Standard Operating Procedure in place for the completion of CHP 735 forms.

CORRECTIVE ACTION PLAN:

After identifying the issues, the following corrective action steps were taken:

Safety, Service, and Security

**COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT**

Page 1 of 2

Command: Hayward	Division: Golden Gate	Chapter: 8-DUI Cost Recovery
Inspected by: Sergeant K. Briggs		Date: May 19, 2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 2	<input checked="" type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: Golden Gate Division Due Date:		
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

None

Command Suggestions for Statewide Improvement:

None

Inspector's Findings:

The Area does have a specific employee assigned to process all CHP 735 forms. Hayward Area's DUI Cost Recovery program was inspected, covering the period of January 1, 2009 to March 31, 2009. Of the 15 cases involving a CHP 735, Incident Response Reimbursement Statement, 4 cases were submitted in excess of the 10 business day period. Properly completed CHP 735 forms are forwarded to FMS with current reimbursement rate, including CHP 415, recorded to the nearest 10 minute increment, and appropriate number of staff hours involved. Copies of the CHP 735 are being retained at Area level.

Commander's Response: ☐ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

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Command: Hayward	Division: Golden Gate	Chapter: 8-DUI Cost Recovery
Inspected by: Sergeant K. Briggs		Date: May 19, 2009

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

Required Action

Corrective Action Plan/Timeline

The following procedures have been implemented at the Hayward Area to address the CHP 735, Incident Response Reimbursement Statement, timely submission and processing:

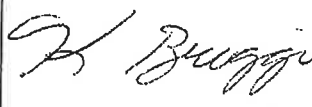
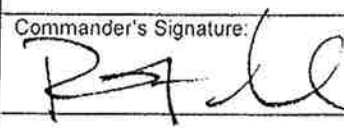
- Quarterly briefing items discussing proper procedures and timely submission of CHP 735 form.
- Development of Hayward Area tracking sheet, which includes section covering CHP 735 form review and submission to clerical staff.
- Development of log, tracking DUI Cost Recovery. This includes AIS Report Number, Arrest Date, Chemical Test result Date, Reason CHP 735 is Missing, Date CHP 735 Received, Date CHP 735 Sent to FMS, and Defendant Name.
- Follow up of case adjudication by court officer on a weekly basis, which is forwarded to clerical staff.

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 5/20/09
	INSPECTOR'S SIGNATURE 	DATE MAY 20, 2009
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE	DATE

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND DUI COST RECOVERY

Command: Hayward	Division: Golden Gate:	Number: 345
Evaluated by: Sergeant K. Briggs, ID 13119		Date: May 19, 2009
Assisted by: Office Assistant E. Klobas, ID A12869		Date: May 19, 2009

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: 
		Date: 5/26/09	
For applicable policies, refer to HPM 11.1, Chapter 20.			
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.			
1. Does the command have sufficient procedures to ensure that a CHP 735, Incident Response Reimbursement Statement, is prepared for each arrest that meets the cost recovery criteria?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:
2. What are these procedures? Per Hayward Area S.O.P., officers are required to submit incomplete reports to a supervisor prior to end of shift. Supervisors review submitted forms and initials Hayward Area tracking sheet. Tracking sheet contains section for CHP 735, detailing when CHP 735 submitted to clerical and supervisors initials and date. Recurring briefing items regarding CHP 735 guidelines are conducted regularly. The issue is also a topic at Area Staff Meetings.			
3. Does the command have a specific employee(s) assigned to process all CHP 735 forms?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks: OA E. Klobas
4. If the answer to question 3 of this checklist is yes, is the responsibility of processing all CHP 735 forms listed in their job description or any other document?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

CHAPTER 8

COMMAND DUI COST RECOVERY

1. Are all CHP 735 forms forwarded to Fiscal Management Section (FMS) properly with completed criteria in either Section A or Section B of the form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Does the command have a suspense system in place to facilitate notification of a conviction involving cases meeting the requirements of the Driving Under the Influence (DUI) Cost Recovery Program? This would involve cases where the following criteria applies: <ul style="list-style-type: none"> A Blood Alcohol Content (BAC) under .08% A chemical test is positive for drugs only There is no supporting BAC test of drug test (i.e., a refusal) 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Court Officer receives weekly case disposition log from court. This is forwarded to clerical employee handling CHP 735 forms.
3. Are CHP 735 forms completed based on the criteria of Section A of the form being forwarded to FMS within ten business days from one of the following dates? <ul style="list-style-type: none"> The date of BAC results of $\geq .08\%$ were received The date of BAC results of $\geq .04\%$ were received for a commercial driver 	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: For the first quarter of 2009, 15 CHP 735 forms were submitted to FMS. Four of these were submitted in excess of 10 business days. Area now has procedures in place to correct deficiency.
4. Are CHP 735 forms completed based on the criteria of Section B of the form being forwarded to FMS within ten business days from being notified of a conviction of California Vehicle Sections 23152 or 23153, or greater offence as a result of one of the following? <ul style="list-style-type: none"> The person arrested refused to provide a chemical test The arrest was for drugs only A BAC of $< .08\%$ was obtained 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Has Not Occurred.
5. Is the Itemized Staff Hours section of the CHP 735 completed as required in Highway Patrol Manual 11.1, Administrative Procedures Manual, and includes hours for all employees assigned to the incident?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. If the person arrested is transient, is the case being entered into the CHP 735A, Case Log-DUI Cost Recovery Program, without forwarding the CHP 735 to FMS?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area has not encountered.
7. Are staff hours involved in the incident recorded on the CHP 735 to the nearest ten minutes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Do the total number of staff hours charged on the CHP 735 agree with the appropriate CHP 415, Daily Field Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

CHAPTER 8

COMMAND DUI COST RECOVERY

1. Does the Notes portion of the CHP 415 indicate the billable DUI time when the CHP 415 includes more than one activity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Highlighted in Activity/Comments section.
2. Are the staff hours incurred by members of the Department for the following activities associated with an incident meeting the criteria for DUI cost recovery included in the CHP 735? <ul style="list-style-type: none"> • Response Time • On-Scene Investigation • Follow-up Investigation • Report Writing • Vehicle Storage • Call Back • Field Sobriety Testing • Transportation • Booking • Chemical Testing • Traffic Control 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are the staff hours for officers-in-charge, sergeants, lieutenants, or captains listed on the CHP 735 for time spent performing the activities listed in question 12 of this checklist and not exclusively supervisory tasks?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Is the current hourly rate for reimbursement, sent out to all commands via Comm-Net from FMS, being used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Is a copy of the CHP 735 being retained at the command and filed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Is the command utilizing the, optional, CHP 735A to track cases qualifying for the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. In the absence of a CHP 735A, how is the command tracking the DUI Cost Recovery Program? A log has been established to track the following: AIS Report Number, Arrest Date, Chemical Test Result Date, Reason CHP 735 is Missing, Date CHP 735 Received, Date CHP 735 Sent to FMS, and Defendant Name.				
8. Are commands using a case monitoring system to track cases qualifying for the DUI Cost Recovery Program including the following information in the monitoring system? <ul style="list-style-type: none"> • Defendant Information • Violation Information • Court Information • FMS Information • BAC test results 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area Information System

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COMMAND DUI COST RECOVERY

9. Are cases not resulting in a conviction within 12 months after submission to the District Attorney closed out after court verification of case status?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The Area has developed a plan to address this issue.
10. Do closed out cases on the monitoring system have a line drawn through the Conviction Date and Date to FMS as well as the reason the case was closed and date of last follow-up check?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
11. Are refunds or overpayments, as a result of erroneous charges, in an amount of = \$5.00 being processed by the Department?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
12. Is the command reviewing the quarterly reports sent by FMS related to the submission of CHP 735 forms and case status identifying any deficiencies in the submission and accountability of the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Question 25 pertains to Fiscal Management Section.				
13. Is FMS reviewing the CHP 735 forms for completeness of information and returning deficient forms to the issuing command for corrections?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

M e m o r a n d u m

Date: August 24, 2009

To: Golden Gate Division

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Hayward Area

File No.: 345.14995.09-047

Subject: REIMBURSABLE SERVICES AGREEMENT INSPECTION -
CORRECTIVE ACTION PLAN

On June 26, 2009, a Division-level inspection for the preceding 12-month period was conducted of the Reimbursable Services Agreement files in the Hayward CHP Area. In response to that inspection, the Hayward Area has created this Corrective Action Plan.

HISTORY:

When the Hayward Area learned that the Reimbursable Services Agreement program would be inspected, a thorough self inspection was conducted using the checklist contained in Highway Patrol Manual (HPM) 22.1, Chapter 8. The self inspection was conducted by Sergeant Kevin Briggs, I.D. 13119. The self inspection revealed the following:

- The Hayward Area had twenty (20) reimbursable services agreements. 100% of the agreements were examined.
- Area did not maintain a CHP 466 Reimbursable Services Control Log log.
- There was a general lack of training and accountability for the paperwork transactions and thoroughness of completion of contract requirements.

ISSUES IDENTIFIED DURING THE DIVISION-LEVEL INSPECTION:

- The Hayward Area had twenty (20) reimbursable services agreements. 100% of the agreements were examined.
- The state agency's billing code was not obtained or documented on the Reimbursable Services Billing Memorandum.
- One permit was referenced but there were no copies of any permits on file.
- Advance deposits are being collected, but not for all details prior to the start of the service.
- One of three advance deposit checks has a CHP 251 prepared and mailed to the contracting company.

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- One of three contracts with advance deposits had a copy of the contract attached to the weekly transmittal.
- Area does not maintain a CHP 466 log. This is due in part to the fact that there were no R-Numbers issued to the Area during this fiscal year.
- Only copies of Reimbursable Services Agreements are maintained at Area.
- Area does not ensure the needed permits are obtained before proceeding with Reimbursable Services Agreements.
- Area performed a safety services detail for another agency. The CHP 312 and CHP 313 were completed but the CHP 312 was not signed.
- Five of five contracts were not processed within five days because there was no Captain or Lieutenant assigned to Area for a 30 day period when these details were completed.
- Area does not maintain a Reimbursable Services Control Log.
- Area is not informed of delinquent companies.

CORRECTIVE ACTION PLAN:

- It is not possible to correct past errors on the reimbursable services agreements. OSS I Poornima Deo will ensure all policies and procedures are followed for future agreements.
- On-going training will be provided specific to each employee involved in the RSA program.
- Area will begin using the CHP 466 Reimbursable Services Control Log.
- Area has created a form to be provided to the requesting party that will indicate how to get the necessary permits, resolutions, etc.
- An Area checklist has been developed to ensure timely completion and submission of required documents.

SUMMARY:

The issues identified during the Division inspection will be addressed and Area will continue to take an active role in managing reimbursable services agreements.


C. J. SHERRY, Lieutenant
Acting Commander

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Page 1 of 2

Command: Hayward	Division: Golden Gate	Chapter: 8
Inspected by: Tina Cook		Date: 5/26/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 8	<input type="checkbox"/> Corrective Action Plan Included <input checked="" type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Due Date:		
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			
Command Suggestions for Statewide Improvement:			
Inspector's Findings:			

20 reimbursable services contracts (RSC) initiated between May 2008 and May 2009 were inspected. Sgt. Kevin Briggs, Officer Paul Cheever, Office Assistant Ellaina Klobas, and OSSl Poornima Deo are all involved in the processing and management of the Area RSC program.

3. Remarks: Only 1 of 5 records was for a detail with a state agency. There was no agency billing code for that agency on the paperwork. This detail was handled by an employee who is no longer assigned to the Hayward Area. Current employee is aware of this requirement.
4. Remarks: Only 1 of 5 records was for a detail with a state agency. There was no agency billing code for that agency on the paperwork. This detail was handled by an employee who is no longer assigned to the Hayward Area. Current employee is aware of this requirement.
7. Although 1 permit was referenced, not copies of any permits were present.
14. Advance deposits are being collected, but not for every detail, although Area has not had a detail since June 2008
15. One of 3 advance deposit checks had a CHP 251 prepared and mailed to the contracting company.
17. One of 3 contracts with advance deposits had a copy of the contract attached to the weekly transmittal. No film details were performed so there were no CHP 169s.
18. Area does not maintain a CHP 466. This is in part due to the fact that there have no R-Numbers issued to Area during this fiscal year. There is also no log for the 07/08 fiscal year, but there were only 5 R-Numbers issued during that fiscal year.
20. No log is maintained by Area.

**COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT**

Page 2 of 2

Command: Hayward	Division: Golden Gate	Chapter: 8
Inspected by: Tina Cook		Date: 5/26/2009

23. Only copies of RSAs were present at Area, but all of those were from the previous fiscal year. There are no records from the current fiscal year since the new policy revision.
24. The Command proceeds with all RSAs, but does not ensure the needed permits are obtained.
30. Area performed a safety services detail for another agency, but not under a statewide agreement. The CHP 312 and 313 were completed, but the CHP 312 was not signed.
33. Five of 5 contracts were not processed within 5 days because there was no Captain or Lieutenant assigned to Area for a 30 day period when these details were completed.
35. Area does not maintain a log, therefore this is not completed.
36. Area does not maintain a log, therefore this is not completed.
37. Area does not maintain a log, therefore this is not completed.
52. Command is not informed of delinquent companies.

Effective controls are now in place to ensure policy and procedures are being followed.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

Required Action

Corrective Action Plan/Timeline

None required.

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE	DATE
	INSPECTOR'S SIGNATURE	DATE
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE	DATE

M e m o r a n d u m

Date: July 1, 2009

To: Golden Gate Division

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Golden Gate Division

File No.: 301.13154

Subject: CHAPTER 8 INSPECTIONS – SANTA ROSA AREA

On June 9-10, 2009, Golden Gate Division Inspection Team #1; Lieutenant Dane Lobb, Sergeant Jim Libby and AGPA Tina Cook, conducted a Division level inspection. The inspection team utilized the guidelines found in Chapter 8 of HPM 22.1, for this inspection. Furthermore, the team used a CHP form 680U for the inspection. The goal of the inspection was to determine the level of compliance with CHP policy found in Chapter 6 of HPM 11.1, reimbursable services agreements (RSA's) and in Chapter 20 of HPM 11.1 the DUI cost recovery program. AGPA Cook inspected the records and procedures used by the Santa Rosa Area for RSA's. Sergeant Libby reviewed the procedures and inspected the records for Santa Rosa Area's DUI cost recovery program. The inspection team was assisted by Santa Rosa Area personnel who provided requested records.

The inspection team reviewed a random sample consisting of ten percent of Area's CHP 735s from the previous 12 months and subsequently made the following findings:

This inspection found that Area had failed to forward nine of 26 cases to FMS within the required 10-day period. Area uses a CHP 735A to track cases. Area was not able to consistently provide a CHP 415 for each officer involved in a qualifying event. The Area Court Officer oversees the 735 program and the management team provides oversight and review. All personnel involved in the tracking of these events have a clear understanding of policy, the process and the deadlines.

The Area Lieutenant reduces the total amount of time taken to investigate, and document qualifying events. The reduced time is based upon the amount of time management feels would be appropriate. Area does not have a method for tracking of non-collision DUI arrests which meet the criteria for cost recovery.

Safety, Service, and Security

Golden Gate Division

Page 2

July 1, 2009

24 Reimbursable Services Agreements were reviewed. Area has an effective system in place to ensure all RSAs are processed in a timely fashion and in compliance with policy. Minor errors were noted as outlined on the attached spreadsheet. Errors found during the inspection were typically data entry omissions. These errors did not have an impact on the processing of the agreements.

The discrepancies found during this inspection were reviewed and discussed with the Command. The Command has initiated appropriate corrective procedures to minimize a reoccurrence.



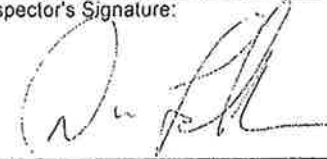
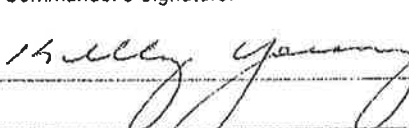
Dane Lobb
Lieutenant

Attachments

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Command: Santa Rosa	Division: Golden Gate	Number: 360
Evaluated by: Tina Cook, AGPA		Date: 6/9/09
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:	
<input checked="" type="checkbox"/> Division Level	<input type="checkbox"/> Command Level		
<input type="checkbox"/> Office of Inspections	<input type="checkbox"/> Voluntary Self-Inspection		
Follow-up Required:		Commander's Signature:	Date:
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			7-1-09
<input type="checkbox"/> Follow-Up Inspection BY: _____			
For applicable policies, refer to HPM 11.1, Chapter 6.			
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.			
1. Prior to the performance of services, is the contracting party informed of the rates charged for services, departmental equipment usage, and cancellation policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
2. Does the billing rate include mileage and other expenses such as uniform or equipment damage?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
3. When a safety service is provided to another state agency, is the agency's five-digit billing code obtained?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: No records inspected pertained to this policy, but policy is known.
4. Is the billing code documented on the Reimbursable Services Billing Memorandum?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: No records inspected pertained to this policy, but policy is known.
5. Is \$50 charged for each CHP uniformed employee assigned to the detail if the cancellation notification is less than 24 hours prior to the scheduled service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
6. Is a minimum payment of 4 hours overtime charged when employee(s) could not be notified of the cancellation of their service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
7. Is information regarding the procedures to obtain necessary right-of-way clearances or permits, local requirements, and other pertinent information made available to inquiring parties?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
8. Are written requests for specific services directed to the appropriate command?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
9. Are traffic control services less than \$50,000 approved by Division?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
10. Are traffic control services estimated to be \$50,000 or more approved by the Office of the Commissioner?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
11. Are extraordinary protective services approved by the Assistant Commissioner, Field?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Questions 12 through 17 pertain to collecting advance deposits.

12. Is a Reimbursable Services Agreement (RSA) log number requested from Division for every contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Is a CHP 465 form completed in accordance with policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are advance payments collected from the contracting company prior to the start of the service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is a CHP 251 prepared and mailed to the contracting company upon receipt of advance payments?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Is a CHP 467 prepared and submitted to the Fiscal Management Section upon completion of the contractual service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 465 attached to the weekly CHP 230, and if applicable, a CHP 169?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: 2 of nine records has 1 st page of CHP 465, but not signed 2 nd page. Three were missing required CHP 169

Questions 18 through 31 pertain to the preparation of agreements.

18. Is a CHP 466 maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Do RSA numbers begin with the letter "R" to denote reimbursable services, followed by two digit fiscal year, three digit location code, and a sequential number for each agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Is the CHP 466 closed out at the end of each fiscal year with a new log implemented on July 1 beginning with the sequential number 001?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: A new log is started but some numbers are not obtained sequentially because of how numbers are issued to the film commission for movie details in this Division.
21. Are all sequential numbers accounted for when reconciling with the Billing Memorandum?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are sequential numbers not matching Billing Memorandums reconciled?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Is the original RSA signed and filed at Area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Does the command proceed with all RSA arrangements, and if needed, ensure the requestor has obtained the necessary right-of-way, clearances, and permits?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: All details done, but all permits not obtained.
25. Is the indemnification clause included in the agreement when requested?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
26. Is the inclusion of the indemnification clause approved by the Department of General Services, Office of Legal Services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
27. If the service is over \$50,000 per occasion, is a CHP 78R prepared and submitted to Contract Services Unit?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:


COZEED/MAZEED Records Inspected.	14			All from last 12 months.
Inspection Information	Yes	No	N/A	Remarks
SPC Used for OT	14			
\$50 or 4 hour cancellation claimed when appropriate.	14			
Reconciliation report reconciled with 415s	14			
SPCs verified	14			
Corrections noted on Reconciliation Reports	11	3		Totals not changed after corrections and 1 record has a correction in the package, but the correction was not indicated on paperwork.
Reconciliation reports approved and dated by by Commander.	14			All were approved by the Commander, but 11 did were not dated.
Original forwarded to Division by 15th.	4	10		Ten of the records were not dated so it is unknown if they were submitted by the 15th.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Command: 360	Division: 301	Number:
Evaluated by: 14658		Date: 6-8-09
Assisted by:		Date:

PGA ONLY

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input checked="" type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: _____ Date: _____
For applicable policies, refer to HPM 11.1, Chapter 6.			
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.			
1. Prior to the performance of services, is the contracting party informed of the rates charged for services, departmental equipment usage, and cancellation policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks: 465
2. Does the billing rate include mileage and other expenses such as uniform or equipment damage?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
3. When a safety service is provided to another state agency, is the agency's five-digit billing code obtained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
4. Is the billing code documented on the Reimbursable Services Billing Memorandum?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
5. Is \$50 charged for each CHP uniformed employee assigned to the detail if the cancellation notification is less than 24 hours prior to the scheduled service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
6. Is a minimum payment of 4 hours overtime charged when employee(s) could not be notified of the cancellation of their service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
7. Is information regarding the procedures to obtain necessary right-of-way clearances or permits, local requirements, and other pertinent information made available to inquiring parties?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks: PRMD NAME/CONTACT #
8. Are written requests for specific services directed to the appropriate command?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks: SANOMA VNY: NAPA CHP
9. Are traffic control services less than \$50,000 approved by Division?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
10. Are traffic control services estimated to be \$50,000 or more approved by the Office of the Commissioner?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
11. Are extraordinary protective services approved by the Assistant Commissioner, Field?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: HQ/DIV

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Questions 12 through 17 pertain to collecting advance deposits.				
12. Is a Reimbursable Services Agreement (RSA) log number requested from Division for every contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Is a CHP 465 form completed in accordance with policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are advance payments collected from the contracting company prior to the start of the service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	MOVIE DETAILS COLLECTED Remarks: DAY OF SERVICE.
15. Is a CHP 251 prepared and mailed to the contracting company upon receipt of advance payments?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Is a CHP 467 prepared and submitted to the Fiscal Management Section upon completion of the contractual service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 465 attached to the weekly CHP 230, and if applicable, a CHP 169?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	PAGE 1 OF 465 AND COPY Remarks: OF RECEIPT / CHECK
Questions 18 through 31 pertain to the preparation of agreements.				
18. Is a CHP 466 maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Do RSA numbers begin with the letter "R" to denote reimbursable services, followed by two digit fiscal year, three digit location code, and a sequential number for each agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: DIVISION LOG IS SEQUENTIAL.
20. Is the CHP 466 closed out at the end of each fiscal year with a new log implemented on July 1 beginning with the sequential number 001?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	AREA LOG IS Remarks: CLOSED OUT.
21. Are all sequential numbers accounted for when reconciling with the Billing Memorandum?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	AREA # ARE NOT Remarks: SEQUENTIAL
22. Are sequential numbers not matching Billing Memorandums reconciled? <u>DIVISION</u>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
23. Is the original RSA signed and filed at Area? <u>YES</u> <u>NO</u>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Orig SENT TO FMS Remarks: AREA W/ CORRECT
24. Does the command proceed with all RSA arrangements, and if needed, ensure the requestor has obtained the necessary right-of-way, clearances, and permits?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: CHP IS LAST TO APPROVE COUNTY PERMITS
25. Is the indemnification clause included in the agreement when requested? <u>NEVER REQ TO DATE</u>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: BSS/LSU
26. Is the inclusion of the indemnification clause approved by the Department of General Services, Office of Legal Services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: CONTRACTS UNIT W/ HANDLE
27. If the service is over \$50,000 per occasion, is a CHP 78A prepared and submitted to Contract Services Unit?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
28. Is a copy of the resolution, order, motion, or ordinance of the local governing body obtained when one of the contracting parties is a county, city, district, or other local public body?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: AREA W/ CORRECT
29. Are dignitary protection services referred to the Office of Dignitary Protection?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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CHAPTER 8
COMMAND REIMBURSABLE SERVICES

30. Are CHP 312 forms, CHP 313 forms, and CHP 467 forms prepared when a statewide agreement is in effect?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
31. When state agencies are requesting a statewide agreement, are they referred to Enforcement Services Division, Field Support Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Questions 32 through 38 pertain to training agreement procedures and reporting for services provided.				
32. Is a CHP 230 prepared by the contracting party when fees are collected on the day of the training session?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
33. Are the original CHP 467 and contract agreement submitted to Fiscal Management Section (FMS) upon completion of services (other than COZEEL, MAZEEL, extraordinary protective services, and special projects) within 5 days?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Are copies of CHP 467 forms forwarded to the next level of review?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Is the date when the Billing Memorandum was sent to FMS noted on the Reimbursable Services Control Log?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
36. Is a copy of the command's Reimbursable Services Control Log forwarded or e-mailed to the Division Coordinator at the end of each month?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
37. Is the Reimbursable Services Control Log verified with the copies of the Billing Memorandums to ensure all reimbursable time has been reported to FMS for billing purposes?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are outstanding items being inspected and resolved?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Questions 39 through 52 pertain to extraordinary protective services and report of overtime hours for reimbursable special projects.				
39. Is a copy of the CHP 467 and CHP 465 submitted to FMS upon completion of extraordinary protective services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
40. Is a reimbursable special project code obtained on every contractual service?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
41. Is the overtime report(s) for reimbursable special project(s) used to reconcile CHP 415 forms for each special project?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
42. Are the special project codes on the overtime report(s) verified to ensure the correct special project code has been used?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
43. Are all corrections noted on the overtime report(s)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
44. Are overtime reports approved and dated by the commander after reconciling?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
45. Is the original overtime report(s) forwarded to FMS?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
46. Is a copy of the overtime report forwarded to Division by the 10 th of the month (except COZEEL/MAZEEL)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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 CHAPTER 8
 COMMAND REIMBURSABLE SERVICES

47. Are all COZEEP/MAZEEP reports forwarded to Division by the 15 th of the month?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
48. Are all COZEEP/MAZEEP reports approved by Division and forwarded to FMS by the 30 th of the month?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
49. Is a copy of the CHP 71 attached to the overtime report(s) when there are reimbursable nonuniformed personnel hours?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
50. Is an amendment of service agreement requested prior to the fund being depleted, and if necessary, is the service discontinued?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
51. Are all payments made directly to FMS?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
52. Does the command require delinquent companies to pay outstanding invoices in full prior to providing any future services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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Command: 360	Division: 301	Chapter: 8
Inspected by: G. P. Tracey #14058		Date: 05/12/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 8	<input type="checkbox"/> Corrective Action Plan Included <input checked="" type="checkbox"/> Attachments Included
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: 301 Due Date: N/A		

Chapter Inspection: DUI Cost Recovery Program

Inspector's Comments Regarding Innovative Practices:

Notwithstanding an excellent SOP for DUI Cost recovery program, the Court Officer(s) have developed a simple tracking mechanism for identifying incidents that require a CHP 735 and documenting if the CHP 735 was submitted utilizing the in Custody / Arrest Log (Book). The innovation is described in the attachments.

Command Suggestions for Statewide Improvement:

None

Inspector's Findings:

Area was not in full compliance with policy as indicated in HPM 11.1, concerning time/activity documentation on the CHP 415 to support the time documented on the CHP 735. However: it is readily apparent that Area has generally reduced hours charged on the CHP 735 where adequate support via the CHP 415, CHP 202, CHP 555 are not present. Area did not have an updated SOP for the DUI Cost Recovery program but has been working diligently on formalizing procedures for the preparation/submission/approval/forwarding of the CHP 735. The draft procedures are attached to this inspection. The SOP draft is due 05/18/09. Officers have been briefed on compliance with policy as of 05/11/09.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

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Command: 360	Division: 301	Chapter: 8
Inspected by: G. P. Tracey #14058		Date: 05/12/2009

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

Required Action: Update DUI Cost recovery SOP

Corrective Action Plan/Timeline: July 1, 2009

The DUI Cost Recovery protocol is attached.

The SOP revision is due 05/18/09.

A CHP 160, Briefing Item, concerning time/activity documentation for the DUI Cost Recovery program is attached.

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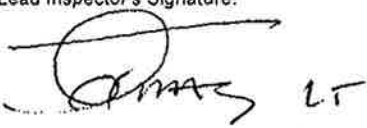
Command: 360	Division: 301	Chapter: 8
Inspected by: G. P. Tracey #14058		Date: 05/12/2009

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE	DATE
	INSPECTOR'S SIGNATURE 	DATE 5-14-09
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE	DATE

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
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CHAPTER 8
COMMAND DUI COST RECOVERY

Command: Santa Rosa	Division: Golden Gate	Number: 8
Evaluated by: G. P. Tracey #14058		Date: 05/12/2009
Assisted by: P. Pappas #11570 E. Heinlein #13864		Date: Various

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input checked="" type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: _____ Date: _____
For applicable policies, refer to HPM 11.1, Chapter 20.			
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.			
1. Does the command have sufficient procedures to ensure that a CHP 735, Incident Response Reimbursement Statement, is prepared for each arrest that meets the cost recovery criteria?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:
2. What are these procedures?		<p>Field Officers are required to submit the Incident Response Reimbursement Statement with the completed collision report. Shift Sergeants monitor the Officers timely submission of the reports and cost recovery documentation. The CHP 735 and supporting CHP 415's are forward to the Court Liaison Officer and processed. The CHP 735 are tracked through the use of the Area's Arrest Log and AIS. Monthly summaries of the CHP 735 are provided to Management for review. The summary includes all Incident Response Reimbursement Statements submitted to Fiscal Management for the month, as well as CHP 735's pending court action and/or chemical tests.</p>	
3. Does the command have a specific employee(s) assigned to process all CHP 735 forms?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:
4. If the answer to question 3 of this checklist is yes, is the responsibility of processing all CHP 735 forms listed in their job description or any other document?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:

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COMMAND DUI COST RECOVERY

5. Are all CHP 735 forms forwarded to Fiscal Management Section (FMS) properly with completed criteria in either Section A or Section B of the form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Does the command have a suspense system in place to facilitate notification of a conviction involving cases meeting the requirements of the Driving Under the Influence (DUI) Cost Recovery Program? This would involve cases where the following criteria applies: <ul style="list-style-type: none"> • A Blood Alcohol Content (BAC) under .08% • A chemical test is positive for drugs only • There is no supporting BAC test of drug test (i.e., a refusal) 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Cases rejected by the DA or no longer qualifying for reimbursement are documented on the CHP 735A, which is kept by year and month, and the original CHP 735 is destroyed.
7. Are CHP 735 forms completed based on the criteria of Section A of the form being forwarded to FMS within ten business days from one of the following dates? <ul style="list-style-type: none"> • The date of BAC results of $\geq .08\%$ were received • The date of BAC results of $\geq .04\%$ were received for a commercial driver 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are CHP 735 forms completed based on the criteria of Section B of the form being forwarded to FMS within ten business days from being notified of a conviction of California Vehicle Sections 23152 or 23153, or greater offence as a result of one of the following? <ul style="list-style-type: none"> • The person arrested refused to provide a chemical test • The arrest was for drugs only • A BAC of $< .08\%$ was obtained 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Is the Itemized Staff Hours section of the CHP 735 completed as required in Highway Patrol Manual 11.1, Administrative Procedures Manual, and includes hours for all employees assigned to the incident?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. If the person arrested is transient, is the case being entered into the CHP 735A, Case Log-DUI Cost Recovery Program, without forwarding the CHP 735 to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are staff hours involved in the incident recorded on the CHP 735 to the nearest ten minutes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do the total number of staff hours charged on the CHP 735 agree with the appropriate CHP 415, Daily Field Record?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Until recently staff hours on the 415 were not compared to the 735. If the hours were viewed as excessive, based on the court officer

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COMMAND DUI COST RECOVERY

				review of the arrest/collision report – the 735 hours were reduced accordingly with management approval. This practice has resulted in very few DUI cost recovery disputes in the last 5 years, (17).
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13. Does the Notes portion of the CHP 415 indicate the billable DUI time when the CHP 415 includes more than one activity?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Officers have been briefed of Policy (CHP 160 05/11/09)
14. Are the staff hours incurred by members of the Department for the following activities associated with an incident meeting the criteria for DUI cost recovery included in the CHP 735? <ul style="list-style-type: none"> • Response Time • On-Scene Investigation • Follow-up Investigation • Report Writing • Vehicle Storage • Call Back • Field Sobriety Testing • Transportation • Booking • Chemical Testing • Traffic Control 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Are the staff hours for officers-in-charge, sergeants, lieutenants, or captains listed on the CHP 735 for time spent performing the activities listed in question 12 of this checklist and not exclusively supervisory tasks?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Officers have been briefed on Policy (CHP 160 05/11/09)
16. Is the current hourly rate for reimbursement, sent out to all commands via Comm-Net from FMS, being used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 735 being retained at the command and filed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the command utilizing the, optional, CHP 735A to track cases qualifying for the DUI Cost Recovery Program?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. In the absence of a CHP 735A, how is the command tracking the DUI Cost Recovery Program? The area has a tracking system that is superior to the use of the CHP 735A as the only tracking mechanism. That tracking system is attached. The CHP 735A is used to document non qualifying CHP 735s and is kept by year and month in front of copies of all submitted CHP 735s for that year and month.				

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 COMMAND DUI COST RECOVERY

20. Are commands using a case monitoring system to track cases qualifying for the DUI Cost Recovery Program including the following information in the monitoring system? <ul style="list-style-type: none"> • Defendant Information • Violation Information • Court Information • FMS Information • BAC test results 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are cases not resulting in a conviction within 12 months after submission to the District Attorney closed out after court verification of case status?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Do closed out cases on the monitoring system have a line drawn through the Conviction Date and Date to FMS as well as the reason the case was closed and date of last follow-up check?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The CHP 735A documents non qualifying cases – the original 735 is destroyed.
23. Are refunds or overpayments, as a result of erroneous charges, in an amount of = \$5.00 being processed by the Department?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Is the command reviewing the quarterly reports sent by FMS related to the submission of CHP 735 forms and case status identifying any deficiencies in the submission and accountability of the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: 1 st Quarter 2009 average = 7 days.
Question 25 pertains to Fiscal Management Section.				
25. Is FMS reviewing the CHP 735 forms for completeness of information and returning deficient forms to the issuing command for corrections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT**

Command: Santa Rosa	Division: Golden Gate	Chapter: 8
Inspected by: J. Libby		Date: 06/10/2009

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INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 8	<input type="checkbox"/> Corrective Action Plan Included <input checked="" type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to:	Due Date:	

Chapter Inspection: **8**

Inspector's Comments Regarding Innovative Practices:

The Lieutenant reviewing and signing CHP 735's will reduce the amount billed on the CHP 735 if the time spent on the DUI investigation is excessive.

The Santa Rosa Area will send memoranda out to Officers who have transferred out, yet still need to submit either CHP 415's or CHP 735's.

Command Suggestions for Statewide Improvement:

Santa Rosa Area has suggested a fixed rate for reimbursement for CHP 735's. This amount would be a guideline and could be adjusted for unusual circumstances.

Currently, there is no AIS entry which allows for tracking of non-collision DUI arrests which meet the criteria for Cost Recovery.

Inspector's Findings:

An Inspection of procedures for the completion and submission CHP 735's was conducted on June 10, 2009. The inspection examined 26 of the 260 events requiring a CHP 735. The Area Management team and court officer understand the proper procedures involved in the processing of CHP 735's.

Area utilizes a CHP 735A to ensure the proper and timely submission of CHP 735's.

10. There have been no reported arrests of transients.

23. Area does not process CHP 735 overpayments.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

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COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Santa Rosa	Division: Golden Gate	Chapter: 8
Inspected by: J. Libby		Date: 06/10/2009


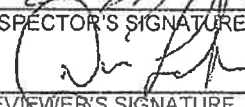

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Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

Required Action

Corrective Action Plan/Timeline

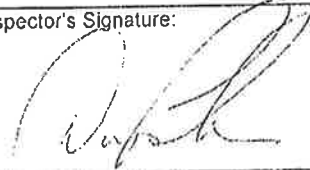
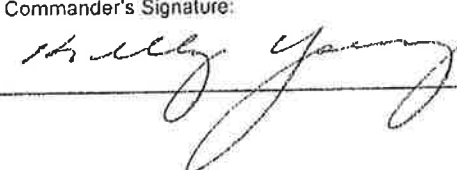
None required.

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 7/30/09
	INSPECTOR'S SIGNATURE 	DATE 7/30/09
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE 	DATE 8-6-09

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND DUI COST RECOVERY

Command: Santa Rosa	Division: Golden Gate	Number: 345
Evaluated by: Sergeant James Libby		Date: 06/10/2009
Assisted by: E. Heinlein/ P. Pappas		Date: 06/10/2009

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: 
Date: 7-1-09			
For applicable policies, refer to HPM 11.1, Chapter 20.			
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.			
1. Does the command have sufficient procedures to ensure that a CHP 735, Incident Response Reimbursement Statement, is prepared for each arrest that meets the cost recovery criteria?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Remarks:			
2. What are these procedures?			
<p>The Santa Rosa Court Officer examines each arrest report to determine whether or not the arrest meets the criteria for DUI cost recovery. The Court Officer makes an entry directly into the booking log to indicate a CHP 735 is required ('X' for collision, 'O' for non-collision response). The Court Officer makes the AIS entry and initials 'Y' at the bottom of the arrest report to indicate a CHP 735 is required and the report has been entered into AIS. The Court Officer provides the completed CHP 735's to the reviewing Lieutenant, makes a copy for a discovery file, and forwards the documents to clerical so they can be sent to FMS.</p>			
3. Does the command have a specific employee(s) assigned to process all CHP 735 forms?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Remarks:			
4. If the answer to question 3 of this checklist is yes, is the responsibility of processing all CHP 735 forms listed in their job description or any other document?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Remarks:			
5. Are all CHP 735 forms forwarded to Fiscal Management Section (FMS) properly with completed criteria in either Section A or Section B of the form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Remarks:			

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INSPECTION PROGRAM

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COMMAND DUI COST RECOVERY

<p>6. Does the command have a suspense system in place to facilitate notification of a conviction involving cases meeting the requirements of the Driving Under the Influence (DUI) Cost Recovery Program? This would involve cases where the following criteria applies:</p> <ul style="list-style-type: none"> • A Blood Alcohol Content (BAC) under .08% • A chemical test is positive for drugs only • There is no supporting BAC test of drug test (i.e., a refusal) 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The command has access to the local District Attorney's computer, allowing the Court Officer to access conviction/warrant data.
<p>7. Are CHP 735 forms completed based on the criteria of Section A of the form being forwarded to FMS within ten business days from one of the following dates?</p> <ul style="list-style-type: none"> • The date of BAC results of $\geq .08\%$ were received • The date of BAC results of $\geq .04\%$ were received for a commercial driver 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
<p>8. Are CHP 735 forms completed based on the criteria of Section B of the form being forwarded to FMS within ten business days from being notified of a conviction of California Vehicle Sections 23152 or 23153, or greater offence as a result of one of the following?</p> <ul style="list-style-type: none"> • The person arrested refused to provide a chemical test • The arrest was for drugs only • A BAC of $< .08\%$ was obtained 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
<p>9. Is the Itemized Staff Hours section of the CHP 735 completed as required in Highway Patrol Manual 11.1, Administrative Procedures Manual, and includes hours for all employees assigned to the incident?</p>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
<p>10. If the person arrested is transient, is the case being entered into the CHP 735A, Case Log-DUI Cost Recovery Program, without forwarding the CHP 735 to FMS?</p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No transient arrests were noted in AIS.
<p>11. Are staff hours involved in the incident recorded on the CHP 735 to the nearest ten minutes?</p>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
<p>12. Do the total number of staff hours charged on the CHP 735 agree with the appropriate CHP 415, Daily Field Record?</p>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
<p>13. Does the Notes portion of the CHP 415 indicate the billable DUI time when the CHP 415 includes more than one activity?</p>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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COMMAND DUI COST RECOVERY

<p>14 Are the staff hours incurred by members of the Department for the following activities associated with an incident meeting the criteria for DUI cost recovery included in the CHP 735?</p> <ul style="list-style-type: none"> • Response Time • On-Scene Investigation • Follow-up Investigation • Report Writing • Vehicle Storage • Call Back • Field Sobriety Testing • Transportation • Booking • Chemical Testing • Traffic Control 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
<p>15. Are the staff hours for officers-in-charge, sergeants, lieutenants, or captains listed on the CHP 735 for time spent performing the activities listed in question 12 of this checklist and not exclusively supervisory tasks?</p>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
<p>16. Is the current hourly rate for reimbursement, sent out to all commands via Comm-Net from FMS, being used?</p>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
<p>17. Is a copy of the CHP 735 being retained at the command and filed?</p>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
<p>18. Is the command utilizing the, optional, CHP 735A to track cases qualifying for the DUI Cost Recovery Program?</p>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
<p>19 In the absence of a CHP 735A, how is the command tracking the DUI Cost Recovery Program? N/A. The Santa Rosa CHP Area is using the CHP 735A.</p>				
<p>20. Are commands using a case monitoring system to track cases qualifying for the DUI Cost Recovery Program including the following information in the monitoring system?</p> <ul style="list-style-type: none"> • Defendant Information • Violation Information • Court Information • FMS Information • BAC test results 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
<p>21. Are cases not resulting in a conviction within 12 months after submission to the District Attorney closed out after court verification of case status?</p>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
<p>22. Do closed out cases on the monitoring system have a line drawn through the Conviction Date and Date to FMS as well as the reason the case was closed and date of last follow-up check?</p>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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CHAPTER 8

COMMAND DUI COST RECOVERY

23. Are refunds or overpayments, as a result of erroneous charges, in an amount of = \$5.00 being processed by the Department?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Santa Rosa CHP has not had any refunds or overpayments.
24. Is the command reviewing the quarterly reports sent by FMS related to the submission of CHP 735 forms and case status identifying any deficiencies in the submission and accountability of the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Question 25 pertains to Fiscal Management Section.				
25. Is FMS reviewing the CHP 735 forms for completeness of information and returning deficient forms to the issuing command for corrections?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

M e m o r a n d u m

Date: May 29, 2009

To: Golden Gate Division

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Golden Gate Division

File No.: 360.14058

Subject: **COMMAND INSPECTION PROGRAM - DIVISION LEVEL INSPECTION**
2ND QUARTER 2009

On May 28, 2009, in accordance with the Command Inspections Program Manual, HPM 22.1, I conducted a Division Level inspection at Solano Area concerning Chapter 8, Command Reimbursable Services and the DUI Cost Recovery Program. My Area contact for the inspection was Captain Susan Ward.

Area has 23 reimbursable services agreements (RSAs) for fiscal year 2007/2008 and 2008/2009. 5 RSAs were selected randomly for inspection.

Area does not maintain a local RSA log (CHP 466). The Division log is used to reconcile the RSA numbers and service provided dates. Area will implement a RSA log to facilitate tracking agreements and to document the submission of the billing memorandum (CIIP 467) to Fiscal Management Section. Area will document the closing of each RSA per fiscal year on the CHP 466.

Area will keep signed original RSAs in local files. Previously, Area was submitting original RSAs to Fiscal Management Section (FMS).

Area will follow up on mileage reimbursement for grant funded services provided in the City of Oakland (CalGrip), and for traffic control services provided to the City of Fairfield.

I inspected 20 of the 107 Incident Response Reimbursement Statements (CHP 735) prepared within the last twelve months. 13 of 20 were submitted to FMS in accordance with departmental policy. 6 of 20 Daily Field Record (CHP 415) recorded times did not support the recorded times on the CIIP 735. 1 of 20 did not indicate the cause of the incident response but the documented blood alcohol content confirmed the subject was driving under the influence.

Safety, Service, and Security

Golden Gate Division

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May 29, 2009

Area had CHP 735 tracking procedures in place which were functional. Area self inspected prior to the Division level inspection and has updated procedures to ensure full compliance with policy. Area has briefed changes to local procedures to ensure staff hours documented on the CHP 415 agrees with staff activity hours documented on the CHP 735.

A handwritten signature in black ink, appearing to read "G. P. Tracey", with a large, stylized flourish above the name.

G. P. TRACEY

Lieutenant

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Solano	Division: Golden Gate	Chapter: 8
Inspected by: G. P. Tracey 014058		Date: 05/28/2009

Page 1 of 3

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection 2.5	<input checked="" type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: Golden Gate Division Due Date: June 30, 2009		
Chapter Inspection: 8 – Command Reimbursable Services			
Inspector's Comments Regarding Innovative Practices:			

None

Command Suggestions for Statewide Improvement:

None

Inspector's Findings:

Solano Area has 16 reimbursable services agreements between May 28, 2008 and May 28, 2009. For FY 07/08 and 08/09 Area has 23 reimbursable services agreements. 5 reimbursable services agreements were inspected. All reimbursable services files were reviewed and discussed with the coordinator and the Commander.

Area reconciles their reimbursable services agreement (RSAs) numbers using the Division RSA log. Area will implement a local RSA log (CHP466) to track agreement / billing memorandum submission dates to Fiscal Management Section (FMS) and to document closing the RSA at the end of the fiscal year.

Area will keep the signed original RSA (CHP465) and send copies to FMS.

4 Special Project Code (SPC) overtime reports were inspected, 2 require follow up by Area. SPC 764, CalGrip-Oakland and SPC 265-City of Fairfield will be reviewed by Area to determine if mileage reimbursement is indicated.

Commander's Response: ☐ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

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Command: Solano	Division: Golden Gate	Chapter: 8
Inspected by: G. P. Tracey 014058		Date: 05/28/2009

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

Required Action:

Corrective Action Plan/Timeline:

See Commander's Corrective Action Plan attached.

COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Page 3 of 3

Command: Solano	Division: Golden Gate	Chapter: 8
Inspected by: G. P. Tracey 014058		Date: 05/28/2009

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 6/25/09
	INSPECTOR'S SIGNATURE 	DATE 5/28/09
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE	DATE

Memorandum

Date: August 12, 2009

To: Golden Gate Division

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Solano Area

File No.: 365.14402.11759

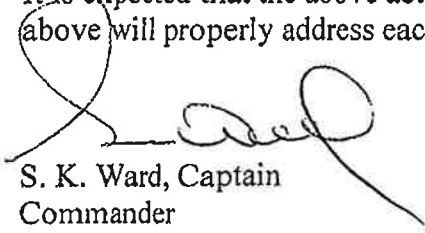
Subject: DUI COST RECOVERY CORRECTIVE ACTION PLAN

Area has reviewed the findings of the recent Chapter 8 inspection relating to DUI cost recovery procedures currently in place.

In response to the recommendations made by the inspection team, Area has updated the Standard Operating Procedures Manual to clearly delineate each employee's responsibility in the generation, review, and processing the each CHP 735 form. The specific actions and responsibilities addressed are consistent with current policy.

Additionally, all area supervisors were trained at a staff meeting to ensure they clearly understand their critical role in the proper and timely completion of a CHP 735 in every applicable circumstance. The administrative sergeant has prepared a lesson plan which he will present at the next area training day to remind officers of the proper way to complete the CHP 735 and all supporting documents. Finally, the Area CHP 735 clerk was briefed and trained on her role in the processing of all CHP 735s.

It is expected that the above action steps will be completed by October 1, 2009. Each action item above will properly address each exception noted by the Inspection Team.



S. K. Ward, Captain
Commander

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Solano	Division: Golden Gate	Chapter: 8
Inspected by: G. P. Tracey 014058		Date: 05/28/2009

Page 1 of 3

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 3	<input checked="" type="checkbox"/> Corrective Action Plan Included <input checked="" type="checkbox"/> Attachments Included
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: Golden Gate Division Due Date: June 30, 2009		
Chapter Inspection: 8 – DUI Cost Recovery Program			
Inspector's Comments Regarding Innovative Practices:			

None

Command Suggestions for Statewide Improvement:

None

Inspector's Findings:

Area did a self inspection, prior to the Division level inspection, which allowed them to identify exceptions to policy and procedure and make proactive changes to ensure compliance. See the Commander's Corrective Action Plan for details.

107 DUI Cost recovery forms (CHP 735) were reviewed for 2008/2009. 20 CHP 735 forms were inspected.

13 of 20 were submitted to Fiscal Management Section (FMS) on time.

6 of 20 had Daily Field Record (CHP 415) recorded times that did not support the recorded times on the CHP 735.

1 of 20 did not indicate the cause of the incident reimbursement, but the documented blood alcohol content confirmed the person was driving under the influence.

Commander's Response: ☐ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

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COMMAND INSPECTION PROGRAM
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Command	Division	Chapter
Solano	Golden Gate	8
Inspected by:		Date:
G. P. Tracey 014058		05/28/2009

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

Required Action:

Corrective Action Plan/Timeline:

See Commander's Corrective Action Plan attached

**COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT**

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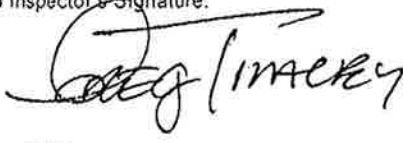
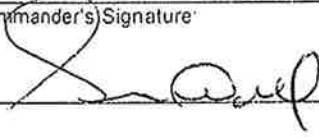
Command: Solano	Division: Golden Gate	Chapter: 8
Inspected by: G. P. Tracey 014058		Date: 05/28/2009

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 6/25/09
	INSPECTOR'S SIGNATURE 	DATE 5/28/09
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE	DATE

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND DUI COST RECOVERY

Command: Solano	Division: Golden Gate	Number:
Evaluated by: G. P. Tracey 014058		Date: 05/28/2009
Assisted by: N/A		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: 
Date: 6/25/09			
For applicable policies, refer to HPM 11.1, Chapter 20.			

Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.

1. Does the command have sufficient procedures to ensure that a CHP 735, Incident Response Reimbursement Statement, is prepared for each arrest that meets the cost recovery criteria?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
--	---	-----------------------------	------------------------------	---------

2. What are these procedures?

Area conducted a self inspection prior to the Division inspection and has updated/corrected procedures. See the Commander's Corrective Action Plan for specific details.

In summary:

The CHP 735 is attached to the CHP 202.

The Court Officer enters the date the 735 was received into the AIS.

The Admin Sgt suspense(s) the hard copy 735.

When the BAC is received a civilian support position enters that date into the AIS.

The Admin Sgt does a daily/weekly AIS check – finalizes appropriate 735(s) – has the 735(s) approved and sent to FMS, and updates the AIS. (See Attachments)

Additionally: the Area SOP was updated for officer / supervisor(s) and civilian support responsibilities concerning the 735. (See Attachments)

STATE OF CALIFORNIA
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CHAPTER 8

COMMAND DUI COST RECOVERY

3. Does the command have a specific employee(s) assigned to process all CHP 735 forms?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Admin Sgt
4. If the answer to question 3 of this checklist is yes, is the responsibility of processing all CHP 735 forms listed in their job description or any other document?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: SOP (Attached)

5. Are all CHP 735 forms forwarded to Fiscal Management Section (FMS) properly with completed criteria in either Section A or Section B of the form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Does the command have a suspense system in place to facilitate notification of a conviction involving cases meeting the requirements of the Driving Under the Influence (DUI) Cost Recovery Program? This would involve cases where the following criteria applies: <ul style="list-style-type: none"> A Blood Alcohol Content (BAC) under .08% A chemical test is positive for drugs only There is no supporting BAC test of drug test (i.e., a refusal) 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are CHP 735 forms completed based on the criteria of Section A of the form being forwarded to FMS within ten business days from one of the following dates? <ul style="list-style-type: none"> The date of BAC results of \approx.08% were received The date of BAC results of \approx.04% were received for a commercial driver 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
8. Are CHP 735 forms completed based on the criteria of Section B of the form being forwarded to FMS within ten business days from being notified of a conviction of California Vehicle Sections 23152 or 23153, or greater offence as a result of one of the following? <ul style="list-style-type: none"> The person arrested refused to provide a chemical test The arrest was for drugs only A BAC of $<$.08% was obtained 	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area Corrected
9. Is the Itemized Staff Hours section of the CHP 735 completed as required in Highway Patrol Manual 11.1, Administrative Procedures Manual, and includes hours for all employees assigned to the incident?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND DUI COST RECOVERY

10. If the person arrested is transient, is the case being entered into the CHP 735A, Case Log-DUI Cost Recovery Program, without forwarding the CHP 735 to FMS?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: None to date.
11. Are staff hours involved in the incident recorded on the CHP 735 to the nearest ten minutes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do the total number of staff hours charged on the CHP 735 agree with the appropriate CHP 415, Daily Field Record?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area Corrected

13. Does the Notes portion of the CHP 415 indicate the billable DUI time when the CHP 415 includes more than one activity?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area Corrected
14. Are the staff hours incurred by members of the Department for the following activities associated with an incident meeting the criteria for DUI cost recovery included in the CHP 735? <ul style="list-style-type: none"> • Response Time • On-Scene Investigation • Follow-up Investigation • Report Writing • Vehicle Storage • Call Back • Field Sobriety Testing • Transportation • Booking • Chemical Testing • Traffic Control 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Are the staff hours for officers-in-charge, sergeants, lieutenants, or captains listed on the CHP 735 for time spent performing the activities listed in question 12 of this checklist and not exclusively supervisory tasks?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: None to date
16. Is the current hourly rate for reimbursement, sent out to all commands via Comm-Net from FMS, being used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 735 being retained at the command and filed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the command utilizing the, optional, CHP 735A to track cases qualifying for the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Implemented May 2009
19. In the absence of a CHP 735A, how is the command tracking the DUI Cost Recovery Program? Previously the Court Officer checked Court records weekly and advised the Admin Sgt when results/dispos were present to justify approval of the 735, which was then signed by a manager and routed to FMS.				

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

CHAPTER 8

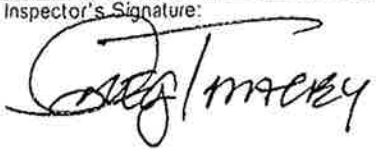
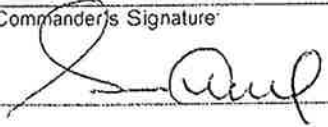
COMMAND DUI COST RECOVERY

20. Are commands using a case monitoring system to track cases qualifying for the DUI Cost Recovery Program including the following information in the monitoring system? <ul style="list-style-type: none"> Defendant Information Violation Information Court Information FMS Information BAC test results 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Court Info and BAC Test Results
21. Are cases not resulting in a conviction within 12 months after submission to the District Attorney closed out after court verification of case status?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area Corrected
22. Do closed out cases on the monitoring system have a line drawn through the Conviction Date and Date to FMS as well as the reason the case was closed and date of last follow-up check?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area Corrected
23. Are refunds or overpayments, as a result of erroneous charges, in an amount of = \$5.00 being processed by the Department?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Is the command reviewing the quarterly reports sent by FMS related to the submission of CHP 735 forms and case status identifying any deficiencies in the submission and accountability of the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Question 25 pertains to Fiscal Management Section.				
25. Is FMS reviewing the CHP 735 forms for completeness of information and returning deficient forms to the issuing command for corrections?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: HQ

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Command: Solano	Division: Golden Gate	Number:
Evaluated by: G. P. Tracey 014058		Date: 05/28/2009
Assisted by: N/A		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: 
For applicable policies, refer to HPM 11.1, Chapter 6.		Date: 6/25/09	

Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.

1. Prior to the performance of services, is the contracting party informed of the rates charged for services, departmental equipment usage, and cancellation policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Does the billing rate include mileage and other expenses such as uniform or equipment damage?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. When a safety service is provided to another state agency, is the agency's five-digit billing code obtained?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No SSP Inspected
4. Is the billing code documented on the Reimbursable Services Billing Memorandum?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No SSP Inspected
5. Is \$50 charged for each CHP uniformed employee assigned to the detail if the cancellation notification is less than 24 hours prior to the scheduled service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Is a minimum payment of 4 hours overtime charged when employee(s) could not be notified of the cancellation of their service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Is information regarding the procedures to obtain necessary right-of-way clearances or permits, local requirements, and other pertinent information made available to inquiring parties?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are written requests for specific services directed to the appropriate command?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are traffic control services less than \$50,000 approved by Division?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Are traffic control services estimated to be \$50,000 or more approved by the Office of the Commissioner?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are extraordinary protective services approved by the Assistant Commissioner, Field?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Division Handles

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Questions 12 through 17 pertain to collecting advance deposits.

12. Is a Reimbursable Services Agreement (RSA) log number requested from Division for every contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Is a CHP 465 form completed in accordance with policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are advance payments collected from the contracting company prior to the start of the service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is a CHP 251 prepared and mailed to the contracting company upon receipt of advance payments?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Hand Delivered
16. Is a CHP 467 prepared and submitted to the Fiscal Management Section upon completion of the contractual service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 465 attached to the weekly CHP 230, and if applicable, a CHP 169?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

Questions 18 through 31 pertain to the preparation of agreements.

18. Is a CHP 466 maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area Uses Division Log
19. Do RSA numbers begin with the letter "R" to denote reimbursable services, followed by two digit fiscal year, three digit location code, and a sequential number for each agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Is the CHP 466 closed out at the end of each fiscal year with a new log implemented on July 1 beginning with the sequential number 001?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area Uses Division Log
21. Are all sequential numbers accounted for when reconciling with the Billing Memorandum?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Division Handles
22. Are sequential numbers not matching Billing Memorandums reconciled?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
23. Is the original RSA signed and filed at Area?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area Corrected / Had sent originals to FMS
24. Does the command proceed with all RSA arrangements, and if needed, ensure the requestor has obtained the necessary right-of-way, clearances, and permits?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
25. Is the indemnification clause included in the agreement when requested?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
26. Is the inclusion of the indemnification clause approved by the Department of General Services, Office of Legal Services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
27. If the service is over \$50,000 per occasion, is a CHP 78R prepared and submitted to Contract Services Unit?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: CHP78A - City of Fairfield (BR# 23-0102)
28. Is a copy of the resolution, order, motion, or ordinance of the local governing body obtained when one of the contracting parties is a county, city, district, or other local public body?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Commander Verified
29. Are dignitary protection services referred to the Office of Dignitary Protection?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
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COMMAND REIMBURSABLE SERVICES

30. Are CHP 312 forms, CHP 313 forms, and CHP 467 forms prepared when a statewide agreement is in effect?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No statewide agreements
31. When state agencies are requesting a statewide agreement, are they referred to Enforcement Services Division, Field Support Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Questions 32 through 38 pertain to training agreement procedures and reporting for services provided.				
32. Is a CHP 230 prepared by the contracting party when fees are collected on the day of the training session?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: None
33. Are the original CHP 467 and contract agreement submitted to Fiscal Management Section (FMS) upon completion of services (other than COZEER, MAZEER, extraordinary protective services, and special projects) within 5 days?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Are copies of CHP 467 forms forwarded to the next level of review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Is the date when the Billing Memorandum was sent to FMS noted on the Reimbursable Services Control Log?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area Corrected
36. Is a copy of the command's Reimbursable Services Control Log forwarded or e-mailed to the Division Coordinator at the end of each month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area Uses Division Log / Area Will Implement Local Log
37. Is the Reimbursable Services Control Log verified with the copies of the Billing Memorandums to ensure all reimbursable time has been reported to FMS for billing purposes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are outstanding items being inspected and resolved?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Questions 39 through 52 pertain to extraordinary protective services and report of overtime hours for reimbursable special projects.				
39. Is a copy of the CHP 467 and CHP 465 submitted to FMS upon completion of extraordinary protective services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: None
40. Is a reimbursable special project code obtained on every contractual service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
41. Is the overtime report(s) for reimbursable special project(s) used to reconcile CHP 415 forms for each special project?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
42. Are the special project codes on the overtime report(s) verified to ensure the correct special project code has been used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
43. Are all corrections noted on the overtime report(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
44. Are overtime reports approved and dated by the commander after reconciling?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
45. Is the original overtime report(s) forwarded to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
46. Is a copy of the overtime report forwarded to Division by the 10 th of the month (except COZEER/MAZEER)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: NLT 4 working days after end of FLSA unless extended.

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INSPECTION PROGRAM

CHAPTER 8

COMMAND REIMBURSABLE SERVICES

47. Are all COZEEP/MAZEEP reports forwarded to Division by the 15 th of the month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
48. Are all COZEEP/MAZEEP reports approved by Division and forwarded to FMS by the 30 th of the month?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Division
49. Is a copy of the CHP 71 attached to the overtime report(s) when there are reimbursable nonuniformed personnel hours?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
50. Is an amendment of service agreement requested prior to the fund being depleted, and if necessary, is the service discontinued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
51. Are all payments made directly to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
52. Does the command require delinquent companies to pay outstanding invoices in full prior to providing any future services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: HQ Handles

AREA: SOLANO

TOTAL RECORDS: 107

RECORDS EXAMINED: 20

DATE OF ARREST	DATE 735 SUBMITTED	BAC/DRUG RESULTS	ARREST FOR DUI T/C Y/N	ARREST FOR OTHER EVENT (BOL) Y/N	DATE BAC AVAILABLE	CONVICTION DATE IF APPLICABLE	415 ATTACHED Y/N	415 CORRECT Y/N	NOTES
2/22/2009	4/4/2009	0.14	Y		4/28/2009		Y	Y	
2/8/2009	5/4/2009	0.26	Y		4/28/2009		Y	Y	
5/16/2009	5/21/2009	0.11	Y		5/16/2009		Y	Y	735 time less than 415
5/14/2009	6/8/2009	0.22	Y		6/2/2009		Y	N	Fitzhugh time charged twice
12/13/2008	4/22/2009	0.21	Y		1/16/2009		Y	Y	Memo attached w/ time explanation
2/28/2009	4/17/2009	0.1	Unknown		2/28/2009	Unknown	Y	N	DRE Eval?
5/15/2009	6/8/2009	0.17	Y		6/2/2009		Y	Y	735 time less than 415
7/24/2008	Unknown	0.2	Y		Unknown		Y	Y	
4/8/2009	5/14/2009	0.22	Y		5/6/2009		Y	N	30 minutes unsupported Konvalin
3/23/2009	4/24/2009	0.23	Y		4/8/2009		Y	N	1 hour unsupported Shuler
5/23/2009	5/28/2009	0.15	Y		5/23/2009		Y	Y	
2/18/2009	4/17/2009	0.21	Y		3/4/2009		Y	Y	735 time less than 415
9/8/2008	Unknown	0.31	Y		Unknown		Y	Y	735 time less than 415
2/9/2009	5/4/2009	0.18	Y		4/28/2009		Y	N	50 minutes unsupported Lovato
5/9/2009	5/26/2009	0.15	Y		5/21/2009		Y	N	2 hours unsupported Aguilar
4/24/2009	5/13/2009	0.16	Y		5/11/2009		Y	Y	
4/27/2009	5/20/2009	0.3	Y		5/14/2009		Y	Y	
2/14/2009	4/17/2009	0.19	Y		2/14/2009		Y	Y	
4/22/2009	5/13/2009	0.22	Y		5/11/2009		Y	Y	
4/15/2009	5/14/2009	0.17	y		5/11/2009		Y	Y	

State of California

Business, Transportation and Housing Agency

M e m o r a n d u m

Date: June 1, 2009

To: Golden Gate Division

From: DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
Santa Rosa Area

File No.: 360.14058

Subject: COMMAND INSPECTION PROGRAM - DIVISION LEVEL INSPECTION
2ND QUARTER 2009

On May 26, 2009, in accordance with the Command Inspections Program Manual, HPM 22.1, I conducted a Division Level inspection at Cordelia Inspection Facility, CIF, concerning Chapter 8, Reimbursable Services and the DUI Cost Recovery Program. My contact for the inspection was Lieutenant Mike Ferrell. Lieutenant Ferrell is the CIF Commander, and we had met and discussed the inspection process prior to my arrival. I was aware that CIF had proactively self inspected their applicable files. CIF does not engage in any reimbursable services and has no DUI Cost Recovery Program files. The CIF overtime report files were inspected. Lieutenant Ferrell was personally involved in the inspection process and was very open to suggestions for improvement.

If you have any questions concerning this memorandum, please contact me at the Santa Rosa Area at (707) 588-1400.



G. P. TRACEY, Lieutenant
Field Operations Officer

Safety, Service, and Security

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Page 1 of 3

Command: Cordelia IF	Division: Golden Gate	Chapter: 8
Inspected by: G. P. TRACEY 014058		Date: 05/26/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 2.5	<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: 301 Due Date: June 30, 2009		
Chapter Inspection: 8 - Command Reimbursable Services			
Inspector's Comments Regarding Innovative Practices:			

Area documents overtime report submission date to Division on top right of Area copy.

Command Suggestions for Statewide Improvement:

Correct question 46 (and policy) "date" to reflect due date of 4 working days after end of FLSA period unless extended

Inspector's Findings:

Area does not have any reimbursable service agreements or contracts to inspect.
Only questions 5, 6, 41 through 47, and 49 apply.
No exceptions noted.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

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Command: Cordelia IF	Division: Golden Gate	Chapter: 8
Inspected by: G. P. TRACEY 014058		Date: 05/26/2009

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

Required Action: None

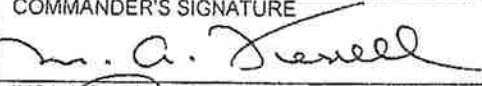
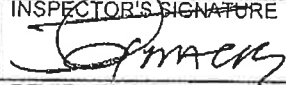
Corrective Action Plan/Timeline:

None

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

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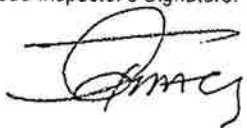

Command: Cordelia IF	Division: Golden Gate	Chapter: 8
Inspected by: G. P. TRACEY 014058		Date: 05/26/2009

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 6-5-09
	INSPECTOR'S SIGNATURE 	DATE 6-1-09
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE	DATE

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Command: Cordelia IF	Division: Golden Gate	Number:
Evaluated by: G. P. TRACEY 014058		Date: 05/26/2009
Assisted by: N/A		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: 
Date: 6-5-09			
For applicable policies, refer to HPM 11.1, Chapter 6.			
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.			
1. Prior to the performance of services, is the contracting party informed of the rates charged for services, departmental equipment usage, and cancellation policy?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: CIF has no reimbursable service agreements.
2. Does the billing rate include mileage and other expenses such as uniform or equipment damage?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
3. When a safety service is provided to another state agency, is the agency's five-digit billing code obtained?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
4. Is the billing code documented on the Reimbursable Services Billing Memorandum?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
5. Is \$50 charged for each CHP uniformed employee assigned to the detail if the cancellation notification is less than 24 hours prior to the scheduled service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
6. Is a minimum payment of 4 hours overtime charged when employee(s) could not be notified of the cancellation of their service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks: COZEEP / MAZEEP
7. Is information regarding the procedures to obtain necessary right-of-way clearances or permits, local requirements, and other pertinent information made available to inquiring parties?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks: COZEEP / MAZEEP
8. Are written requests for specific services directed to the appropriate command?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
9. Are traffic control services less than \$50,000 approved by Division?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
10. Are traffic control services estimated to be \$50,000 or more approved by the Office of the Commissioner?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
11. Are extraordinary protective services approved by the Assistant Commissioner, Field?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:

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INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Questions 12 through 17 pertain to collecting advance deposits.

12. Is a Reimbursable Services Agreement (RSA) log number requested from Division for every contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
13. Is a CHP 465 form completed in accordance with policy?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
14. Are advance payments collected from the contracting company prior to the start of the service?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
15. Is a CHP 251 prepared and mailed to the contracting company upon receipt of advance payments?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
16. Is a CHP 467 prepared and submitted to the Fiscal Management Section upon completion of the contractual service(s)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 465 attached to the weekly CHP 230, and if applicable, a CHP 169?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

Questions 18 through 31 pertain to the preparation of agreements.

18. Is a CHP 466 maintained?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
19. Do RSA numbers begin with the letter "R" to denote reimbursable services, followed by two digit fiscal year, three digit location code, and a sequential number for each agreement?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
20. Is the CHP 466 closed out at the end of each fiscal year with a new log implemented on July 1 beginning with the sequential number 001?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
21. Are all sequential numbers accounted for when reconciling with the Billing Memorandum?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
22. Are sequential numbers not matching Billing Memorandums reconciled?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
23. Is the original RSA signed and filed at Area?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
24. Does the command proceed with all RSA arrangements, and if needed, ensure the requestor has obtained the necessary right-of-way, clearances, and permits?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
25. Is the indemnification clause included in the agreement when requested?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
26. Is the inclusion of the indemnification clause approved by the Department of General Services, Office of Legal Services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
27. If the service is over \$50,000 per occasion, is a CHP 78R prepared and submitted to Contract Services Unit?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
28. Is a copy of the resolution, order, motion, or ordinance of the local governing body obtained when one of the contracting parties is a county, city, district, or other local public body?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
29. Are dignitary protection services referred to the Office of Dignitary Protection?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
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INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

30. Are CHP 312 forms, CHP 313 forms, and CHP 467 forms prepared when a statewide agreement is in effect?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
31. When state agencies are requesting a statewide agreement, are they referred to Enforcement Services Division, Field Support Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
Questions 32 through 38 pertain to training agreement procedures and reporting for services provided.				
32. Is a CHP 230 prepared by the contracting party when fees are collected on the day of the training session?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
33. Are the original CHP 467 and contract agreement submitted to Fiscal Management Section (FMS) upon completion of services (other than COZEEL, MAZEEL, extraordinary protective services, and special projects) within 5 days?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
34. Are copies of CHP 467 forms forwarded to the next level of review?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
35. Is the date when the Billing Memorandum was sent to FMS noted on the Reimbursable Services Control Log?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
36. Is a copy of the command's Reimbursable Services Control Log forwarded or e-mailed to the Division Coordinator at the end of each month?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
37. Is the Reimbursable Services Control Log verified with the copies of the Billing Memorandums to ensure all reimbursable time has been reported to FMS for billing purposes?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
38. Are outstanding items being inspected and resolved?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
Questions 39 through 52 pertain to extraordinary protective services and report of overtime hours for reimbursable special projects.				
39. Is a copy of the CHP 467 and CHP 465 submitted to FMS upon completion of extraordinary protective services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
40. Is a reimbursable special project code obtained on every contractual service?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
41. Is the overtime report(s) for reimbursable special project(s) used to reconcile CHP 415 forms for each special project?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
42. Are the special project codes on the overtime report(s) verified to ensure the correct special project code has been used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
43. Are all corrections noted on the overtime report(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
44. Are overtime reports approved and dated by the commander after reconciling?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
45. Is the original overtime report(s) forwarded to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: A manual tracking system (date) for report submission has been implemented
46. Is a copy of the overtime report forwarded to Division by the 10 th of the month (except COZEEL/MAZEEL)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: NLT 4 working days after end of FLSA unless extended.

STATE OF CALIFORNIA
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INSPECTION PROGRAM
 CHAPTER 8
 COMMAND REIMBURSABLE SERVICES

47. Are all COZEEP/MAZEED reports forwarded to Division by the 15 th of the month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
48. Are all COZEEP/MAZEED reports approved by Division and forwarded to FMS by the 30 th of the month?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
49. Is a copy of the CHP 71 attached to the overtime report(s) when there are reimbursable nonuniformed personnel hours?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
50. Is an amendment of service agreement requested prior to the fund being depleted, and if necessary, is the service discontinued?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
51. Are all payments made directly to FMS?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
52. Does the command require delinquent companies to pay outstanding invoices in full prior to providing any future services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT**

Command: Marin Area	Division: Golden Gate	Chapter: Chapter 8
Inspected by: Sergeant Osuna		Date: 05/11/2009

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INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 12 hours	<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: Due Date: 05/19/2009		
Chapter Inspection: _____			
Inspector's Comments Regarding Innovative Practices: None			

Command Suggestions for Statewide Improvement: None
--

Inspector's Findings: There seemed to be a conflict in several questions. Questions 23 and 33. Most reimbursable contacts and control numbers come Golden Gate Division.

Commander's Response: <input type="checkbox"/> Concur or <input type="checkbox"/> Do Not Concur (Do Not Concur shall document basis for response)

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Marin Area	Division: Golden Gate	Chapter: Chapter 8
Inspected by: Sergeant Osuna		Date: 05/11/2009

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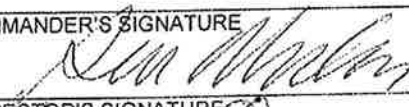
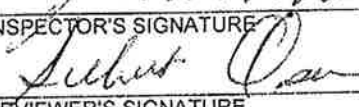
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Command: Marin Area	Division: Golden Gate	Chapter: Chapter 8
Inspected by: Sergeant Osuna		Date: 05/11/2009

Required Action

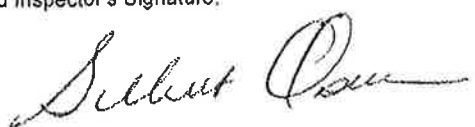

Corrective Action Plan/Timeline

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 5/12/09
	INSPECTOR'S SIGNATURE 	DATE 5/11/09
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE	DATE

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CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Command: Marin Area	Division: Golden Gate	Number: Chapter 8
Evaluated by: Sergeant G. Osuna		Date: 05/11/2009
Assisted by: Officer R. Winnie / LT. Raleigh		Date: 05/12/2009

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: 
		Date: 05/14/2009	
For applicable policies, refer to HPM 11.1, Chapter 6.			
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.			
1. Prior to the performance of services, is the contracting party informed of the rates charged for services, departmental equipment usage, and cancellation policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks: On CHP 465
2. Does the billing rate include mileage and other expenses such as uniform or equipment damage?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
3. When a safety service is provided to another state agency, is the agency's five-digit billing code obtained?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
4. Is the billing code documented on the Reimbursable Services Billing Memorandum?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
5. Is \$50 charged for each CHP uniformed employee assigned to the detail if the cancellation notification is less than 24 hours prior to the scheduled service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
6. Is a minimum payment of 4 hours overtime charged when employee(s) could not be notified of the cancellation of their service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
7. Is information regarding the procedures to obtain necessary right-of-way clearances or permits, local requirements, and other pertinent information made available to inquiring parties?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
8. Are written requests for specific services directed to the appropriate command?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
9. Are traffic control services less than \$50,000 approved by Division?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks: Given R#'s
10. Are traffic control services estimated to be \$50,000 or more approved by the Office of the Commissioner?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:
11. Are extraordinary protective services approved by the Assistant Commissioner, Field?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A Remarks:

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INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Questions 12 through 17 pertain to collecting advance deposits.				
12. Is a Reimbursable Services Agreement (RSA) log number requested from Division for every contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Is a CHP 465 form completed in accordance with policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are advance payments collected from the contracting company prior to the start of the service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is a CHP 251 prepared and mailed to the contracting company upon receipt of advance payments?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Is a CHP 467 prepared and submitted to the Fiscal Management Section upon completion of the contractual service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 465 attached to the weekly CHP 230, and if applicable, a CHP 169?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: CHP 169 does not exist
Questions 18 through 31 pertain to the preparation of agreements.				
18. Is a CHP 466 maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Do RSA numbers begin with the letter "R" to denote reimbursable services, followed by two digit fiscal year, three digit location code, and a sequential number for each agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Is the CHP 466 closed out at the end of each fiscal year with a new log implemented on July 1 beginning with the sequential number 001?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are all sequential numbers accounted for when reconciling with the Billing Memorandum?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Golden Gate Division
22. Are sequential numbers not matching Billing Memorandums reconciled?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Golden Gate Division
23. Is the original RSA signed and filed at Area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Conflict w/ 6-10 D
24. Does the command proceed with all RSA arrangements, and if needed, ensure the requestor has obtained the necessary right-of-way, clearances, and permits?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
25. Is the indemnification clause included in the agreement when requested?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
26. Is the inclusion of the indemnification clause approved by the Department of General Services, Office of Legal Services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
27. If the service is over \$50,000 per occasion, is a CHP 78R prepared and submitted to Contract Services Unit?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
28. Is a copy of the resolution, order, motion, or ordinance of the local governing body obtained when one of the contracting parties is a county, city, district, or other local public body?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
29. Are dignitary protection services referred to the Office of Dignitary Protection?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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30. Are CHP 312 forms, CHP 313 forms, and CHP 467 forms prepared when a statewide agreement is in effect?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
31. When state agencies are requesting a statewide agreement, are they referred to Enforcement Services Division, Field Support Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
Questions 32 through 38 pertain to training agreement procedures and reporting for services provided.				
32. Is a CHP 230 prepared by the contracting party when fees are collected on the day of the training session?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
33. Are the original CHP 467 and contract agreement submitted to Fiscal Management Section (FMS) upon completion of services (other than COZEER, MAZEER, extraordinary protective services, and special projects) within 5 days?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Refer to Question 23
34. Are copies of CHP 467 forms forwarded to the next level of review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Is the date when the Billing Memorandum was sent to FMS noted on the Reimbursable Services Control Log?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
36. Is a copy of the command's Reimbursable Services Control Log forwarded or e-mailed to the Division Coordinator at the end of each month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
37. Is the Reimbursable Services Control Log verified with the copies of the Billing Memorandums to ensure all reimbursable time has been reported to FMS for billing purposes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are outstanding items being inspected and resolved?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
Questions 39 through 52 pertain to extraordinary protective services and report of overtime hours for reimbursable special projects.				
39. Is a copy of the CHP 467 and CHP 465 submitted to FMS upon completion of extraordinary protective services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
40. Is a reimbursable special project code obtained on every contractual service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
41. Is the overtime report(s) for reimbursable special project(s) used to reconcile CHP 415 forms for each special project?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
42. Are the special project codes on the overtime report(s) verified to ensure the correct special project code has been used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
43. Are all corrections noted on the overtime report(s)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
44. Are overtime reports approved and dated by the commander after reconciling?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
45. Is the original overtime report(s) forwarded to FMS?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
46. Is a copy of the overtime report forwarded to Division by the 10 th of the month (except COZEER/MAZEER)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

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 CHAPTER 8
 COMMAND REIMBURSABLE SERVICES

47. Are all COZEEP/MAZEPP reports forwarded to Division by the 15 th of the month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
48. Are all COZEEP/MAZEPP reports approved by Division and forwarded to FMS by the 30 th of the month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
49. Is a copy of the CHP 71 attached to the overtime report(s) when there are reimbursable nonuniformed personnel hours?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
50. Is an amendment of service agreement requested prior to the fund being depleted, and if necessary, is the service discontinued?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
51. Are all payments made directly to FMS?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
52. Does the command require delinquent companies to pay outstanding invoices in full prior to providing any future services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

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EXCEPTIONS DOCUMENT

Command: Marin Area	Division: Golden Gate	Chapter: Chapter 8
Inspected by: Sergeant Osuna		Date: 05/12/2009

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INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 6 hours	<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: Due Date: 05/19/2009		
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices: None			

Command Suggestions for Statewide Improvement: none
--

Inspector's Findings: This inspection revealed that the Area does not have a suspense system in place to facilitate notification of a conviction involving cases meeting the requirements of the Driving Under the Influence (DUI) Cost Recovery Program. The Area will start a monthly suspense file, as a reminder to the Court Officer.

Commander's Response: <input type="checkbox"/> Concur or <input type="checkbox"/> Do Not Concur (Do Not Concur shall document basis for response)

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

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Command: Marin Area	Division: Golden Gate	Chapter: Chapter 8
Inspected by: Sergeant Osuna		Date: 05/12/2009

Required Action

Corrective Action Plan/Timeline

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE <i>[Signature]</i>	DATE 5/18/09
	INSPECTOR'S SIGNATURE <i>[Signature]</i>	DATE 5/12/09
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE	DATE

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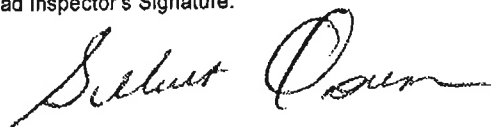
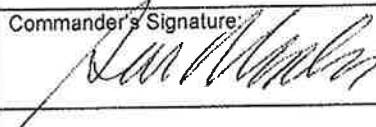
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CHAPTER 8

COMMAND DUI COST RECOVERY

Command: Marin Area	Division: Golden Gate	Number: Chapter 8
Evaluated by: Sergeant G. Osuna		Date: 05/11/2009
Assisted by: LT. Raleigh, OSS I Mares, OA Adams		Date: 05/18/2009

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: 
		Date 05/18/2009	
For applicable policies, refer to HPM 11.1, Chapter 20.			
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.			
1. Does the command have sufficient procedures to ensure that a CHP 735, Incident Response Reimbursement Statement, is prepared for each arrest that meets the cost recovery criteria?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:
2. What are these procedures?		Standard Operating Procedure (SOP), Officer Assistant Arrest Logs, Accident Review Officer notes. CHP 215 Collision Box	
3. Does the command have a specific employee(s) assigned to process all CHP 735 forms?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks: OA Adams
4. If the answer to question 3 of this checklist is yes, is the responsibility of processing all CHP 735 forms listed in their job description or any other document?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks: Arrest Procedures Binder with Instructions.

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COMMAND DUI COST RECOVERY

5. Are all CHP 735 forms forwarded to Fiscal Management Section (FMS) properly with completed criteria in either Section A or Section B of the form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Does the command have a suspense system in place to facilitate notification of a conviction involving cases meeting the requirements of the Driving Under the Influence (DUI) Cost Recovery Program? This would involve cases where the following criteria applies: <ul style="list-style-type: none"> • A Blood Alcohol Content (BAC) under .08% • A chemical test is positive for drugs only • There is no supporting BAC test of drug test (i.e., a refusal) 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Court Officer keeps a file and checks for convictions periodically.
7. Are CHP 735 forms completed based on the criteria of Section A of the form being forwarded to FMS within ten business days from one of the following dates? <ul style="list-style-type: none"> • The date of BAC results of $\geq .08\%$ were received • The date of BAC results of $\geq .04\%$ were received for a commercial driver 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are CHP 735 forms completed based on the criteria of Section B of the form being forwarded to FMS within ten business days from being notified of a conviction of California Vehicle Sections 23152 or 23153, or greater offence as a result of one of the following? <ul style="list-style-type: none"> • The person arrested refused to provide a chemical test • The arrest was for drugs only • A BAC of $< .08\%$ was obtained 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Is the Itemized Staff Hours section of the CHP 735 completed as required in Highway Patrol Manual 11.1, Administrative Procedures Manual, and includes hours for all employees assigned to the incident?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. If the person arrested is transient, is the case being entered into the CHP 735A, Case Log-DUI Cost Recovery Program, without forwarding the CHP 735 to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: None to date
11. Are staff hours involved in the incident recorded on the CHP 735 to the nearest ten minutes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do the total number of staff hours charged on the CHP 735 agree with the appropriate CHP 415, Daily Field Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

CHAPTER 8

COMMAND DUI COST RECOVERY

13. Does the Notes portion of the CHP 415 indicate the billable DUI time when the CHP 415 includes more than one activity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are the staff hours incurred by members of the Department for the following activities associated with an incident meeting the criteria for DUI cost recovery included in the CHP 735? <ul style="list-style-type: none"> • Response Time • On-Scene Investigation • Follow-up Investigation • Report Writing • Vehicle Storage • Call Back • Field Sobriety Testing • Transportation • Booking • Chemical Testing • Traffic Control 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Are the staff hours for officers-in-charge, sergeants, lieutenants, or captains listed on the CHP 735 for time spent performing the activities listed in question 12 of this checklist and not exclusively supervisory tasks?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Pre-set
16. Is the current hourly rate for reimbursement, sent out to all commands via Comm-Net from FMS, being used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Arrest Reports
17. Is a copy of the CHP 735 being retained at the command and filed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the command utilizing the, optional, CHP 735A to track cases qualifying for the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. In the absence of a CHP 735A, how is the command tracking the DUI Cost Recovery Program? N/A				
20. Are commands using a case monitoring system to track cases qualifying for the DUI Cost Recovery Program including the following information in the monitoring system? <ul style="list-style-type: none"> • Defendant Information • Violation Information • Court Information • FMS Information • BAC test results 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Booking logs and tracks in AIS

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

CHAPTER 8

COMMAND DUI COST RECOVERY

21. Are cases not resulting in a conviction within 12 months after submission to the District Attorney closed out after court verification of case status?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Do closed out cases on the monitoring system have a line drawn through the Conviction Date and Date to FMS as well as the reason the case was closed and date of last follow-up check?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Monitors thru EGIS
23. Are refunds or overpayments, as a result of erroneous charges, in an amount of = \$5.00 being processed by the Department?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Done at Fiscal Management Section
24. Is the command reviewing the quarterly reports sent by FMS related to the submission of CHP 735 forms and case status identifying any deficiencies in the submission and accountability of the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Question 25 pertains to Fiscal Management Section.				
25. Is FMS reviewing the CHP 735 forms for completeness of information and returning deficient forms to the issuing command for corrections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

M e m o r a n d u m

Date: June 12, 2009

To: Golden Gate Division

From: DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
Golden Gate Division

File No.: 360.14058

Subject: COMMAND INSPECTIONS PROGRAM -- CASTRO VALLEY AREA

On May 27, 2009, Golden Gate Inspection Team 2 comprised of Lieutenant G. Tracey, and Sergeant Ed Dela Cruz, inspected the DUI Cost Recovery Program files and Reimbursable Service Agreement files of Castro Valley Area. The Inspection Team was assisted by Lieutenant C. Day, Castro Valley Area

The Inspection Team reviewed a random sample of 35 of 139 Incident Response Reimbursement Statements (CHP 735) within the past twelve months, and made the following observations:

23 of 35: CHP 735 not submitted to Fiscal Management Section, FMS, within policy timelines.
8 of 35: No date of submission to FMS indicated.
2 of 35: Section A and B / All Boxes Checked.
1 of 35: Officer hours not separated on CHP 735
1 of 35: The CHP 735 was submitted to FMS twice.

General observations: The Daily Field Record, CHP 415(s), is attached to the CHP 735 and is reviewed for accuracy. Area self-inspected the DUI Cost recovery Program files prior to the Division Inspection, and identified that the CHP 415 "Notes" section had not been used to support CHP 735 time(s) per HPM 11.1. Area has corrected this exception. Area had no formal procedure to ensure completion of the CHP 735 prior to 09/2008. Area has developed and implemented local procedures and has briefed the DUI Cost Recovery Program policy and procedures to ensure accurate reporting of staff activity time.

Area has 5 reimbursable services agreements, (RSAs). 4 of the 5 agreements are for traffic control services with the same requesting party. 1 of the 5 reimbursable services agreements, traffic control services for the County of Alameda, is a year long agreement the billing for which is handled via Division overtime reporting, Special Project Code 877.

Golden Gate Division

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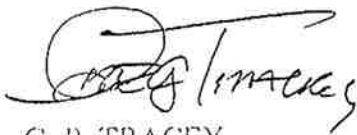
June 12, 2009

Area did not have proof of county permit approval in RSA files. Area did not have county permit approval process information to provide to requesting parties.

Area did not have signed original RSAs in each file and had no method for tracking submission of the Billing Memorandum, CHP 467, to Fiscal Management Section.

Area will prepare local procedures to indicate the required contents of an RSA file and to ensure proper approvals and timely submission of billing documents.

Area self inspected the RSA files prior to the Division inspection. Area has identified exceptions to accepted procedure and is working toward full compliance with policy.

A handwritten signature in black ink, appearing to read "G. P. Tracey", with a stylized flourish at the end.

G. P. TRACEY

Lieutenant

M e m o r a n d u m

Date: June 8, 2009

To: Golden Gate Division

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Castro Valley Area

File No.: 375.12455.12455

Subject: CHP 735 (DUI COST RECOVERY) INSPECTION -
CORRECTIVE ACTION PLAN

On May 27, 2009, a Division-level inspection for the preceding 12-month period was conducted of the CHP 735 (DUI Cost Recovery) files in the Castro Valley CHP Area. In response to that inspection, the Castro Valley Area has created this Corrective Action Plan.

HISTORY:

In October 2008, it was determined that field personnel were not correctly indicating billable time on their CHP 415 (Daily Field Record). Field personnel were instructed to indicate the defendant's name or arrest case number on each line entry of the CHP 415 when a CHP 735 was to be completed. Field Personnel were also reminded that a CHP 735 was required for any alcohol-related incident that "required a response" and not simply as a result of a collision. In addition, sergeants were required to review all CHP 735 forms and the accompanying CHP 415 forms to ensure the CHP 735 was completed correctly. The sergeants were directed to initial the CHP 735 form when they finished their review.

When the Castro Valley Area learned that the DUI Cost Recovery program would be inspected, a thorough self inspection was conducted using the checklist contained in Highway Patrol Manual (HPM) 22.1, chapter 8. Several issues were identified. The self inspection revealed the following:

- All CHP 735 forms, regardless of blood alcohol results, were incorrectly forwarded to Fiscal Management Section (FMS). Once received, FMS returned any CHP 735 that required additional follow-up.
- When the CHP 735 forms were received from FMS, there was no procedure in place to follow-up. The forms were simply filed.
- The Office Assistant responsible for submitting completed CHP 735 forms did not fully understand the program.
- There was no tracking system in place for CHP 735 forms and the optional CHP 735A form was not in use.

Safety, Service, and Security

- There was no system in place to determine case dispositions for CHP 735 forms with blood alcohol contents under 0.08, refusals, drug-only arrests, etc.
- Several CHP 735 forms were located that were over one year old that still required follow-up. FMS was contacted and the Area was informed that any CHP 735 over 12-months old was too old to process. Those CHP 735 forms were closed and filed.
- CHP 415 forms did not indicate "billable hours" in the notes section as required by policy.

CORRECTIVE ACTION PLAN:

After identifying the numerous issues, the following corrective action steps were taken:

- April 2009: Lt. Day provided training to R. Amedio, #A15045, the Office Services Supervisor I, and C. Candelaria, #A13641, the Office Assistant responsible for processing CHP 735 forms. This training included an overview of the program, when CHP 735 forms were required to be sent to FMS, when CHP 735 forms required follow-up, timeframes for submitting completed CHP 735 forms, and how to track open CHP 735 cases.
- April 2009: Lt. Day created an Excel spreadsheet used to track CHP 735 forms. The spreadsheet included all of the required information as indicated in HPM 11.1, chapter 20.
- April 2009: Lt. Day created an advanced search in the Area Information System (AIS) that was used to determine what DUI-related collisions required a CHP 735 form. This search generated a list of collisions for 2008 and 2009.
- April 2009: Ms. Candelaria was directed to review the 2008 AIS list and determine which CHP 735 form was over 12 months old. Those CHP 735 forms were closed and filed. Ms. Candelaria was also instructed to enter all CHP 735 information for the remaining 2008 CHP 735 forms and all of the 2009 CHP 735 forms into the Excel spreadsheet. Once all of the information was entered into the spreadsheet Ms. Candelaria was able to determine which cases did not have a completed CHP 735 form even though one was required. Ms. Candelaria generated a list of missing CHP 735 forms that was forwarded to the sergeants. The sergeants were directed to meet with each officer and ensure a CHP 735 form was completed immediately.
- April 2009: Ms. Candelaria was directed to run the advanced search in AIS weekly and generate a list of any missing CHP 735 forms.
- April 2009: Lt. Day generated a briefing item regarding CHP 415 requirements when completing a CHP 735 form.
- April 2009: Officer Dilling, the Area Accident Review Officer, modified the cover sheet used when turning in a collision report to include a notation about CHP 735 forms.
- April 2009: Officer Rhoades, the Area Evidence/Court Officer, modified the cover sheet used when turning in an arrest report to include a notation about CHP 735 forms.

June 8, 2009

- April 2009: Lt. Day met with Officer Rhoades and Sgt. Perea to discuss court follow-up procedures. On a weekly basis Ms. Candelaria was instructed to provide Officer Rhoades with a list of CHP 735 cases requiring follow-up. Officer Rhoades was instructed to take the list to court on a weekly basis and check the dispositions of the listed cases. After completing the check, Officer Rhoades was directed to provide all information to Ms. Candelaria who would, in turn, process the CHP 735 form for any case that resulted in a conviction.

ISSUES IDENTIFIED DURING THE DIVISION-LEVEL INSPECTION:

- All of the issues identified in the self inspection were discussed with the Division Inspectors.
- There was no system in place to track CHP 735 forms for "transients". In June 2009, Lt. Day modified the CHP 735 Excel spreadsheet to include a column for transients and discussed properly processing of the CHP 735 forms with Ms. Candelaria and Ms. Amedio.

SUMMARY:

Although numerous issues were identified during the inspections, all of the issues have been resolved. In addition, Area will update the Standard Operating Procedures (SOP) to ensure the new CHP 735 procedures are described in detail. Finally, Area will continue to take an active role in managing CHP 735 forms.



C. B. DAY, Lieutenant
Acting Commander

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Page 1 of 3

Command CASTRO VLY	Division GOLDEN GATE	Chapter 8
Inspected by G. P. TRACEY 014058		Date 05/27/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection 5	<input checked="" type="checkbox"/> Corrective Action Plan Included <input checked="" type="checkbox"/> Attachments Included
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: 301 Due Date: June 30, 2009		
Chapter Inspection: 8 – DUI COST RECOVERY			
Inspector's Comments Regarding Innovative Practices:			

None

Command Suggestions for Statewide Improvement:

None

Inspector's Findings:

Area had no local procedure to ensure proper completion of Incident Response Reimbursement Statement, CHP 735, prior to 09/2008.

Area prepared 139 CHP 735 forms in the past twelve months. A random sampling of 35 reimbursement statements was inspected. 12 of the 35 forms were submitted to Fiscal Management Section within policy timelines. 1 statement was approved / submitted twice, but the staff activity hours remained the same, and were supported by the Daily Field Record (CHP 415). CHP 415(s) were attached to the reimbursement statements, but the recorded times were not detailed to fully support the staff activity times listed in the CHP 735, in strict accordance with departmental policy.

Area implemented tracking and submission procedures (see attachments) which are outlined in the Commander's Corrective Action Plan.

Area will implement the CHP 735A to support tracking of "Section B" 735s and "Transient" 735s.

Area will review DUI Cost Recovery program policy and procedures with all uniformed personnel and applicable non-uniformed personnel.

Commander's Response: ☐ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
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Page 2 of 3

Command	Division	Chapter
CASTRO VLY	GOLDEN GATE	8
Inspected by	Date	
G. P. TRACEY 014058	05/27/2009	

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

Required Action:

Corrective Action Plan/Timeline:

See Commander's Corrective Action Plan attached.

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Command CASTRO VLY	Division GOLDEN GATE	Chapter 8
Inspected by G. P. TRACEY 014058		Date 05/27/2009

<input type="checkbox"/> Employee would like to discuss this report with the reviewer (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 6-27-09
	INSPECTOR'S SIGNATURE 	DATE 5/27/09
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE	DATE

STATE OF CALIFORNIA
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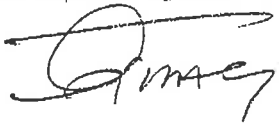

INSPECTION PROGRAM

CHAPTER 8

COMMAND DUI COST RECOVERY

Command Castro Valley	Division: Golden Gate	Number
Evaluated by G. P. TRACEY 014058		Date 05/27/2009
Assisted by E. DELACRUZ 014968		Date 05/27/2009

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature 	
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: 
		Date: 6-8-09	
For applicable policies, refer to HPM 11.1, Chapter 20.			
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.			
1. Does the command have sufficient procedures to ensure that a CHP 735, Incident Response Reimbursement Statement, is prepared for each arrest that meets the cost recovery criteria?		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A	Remarks: Area is working on an SOP. Corrections began 10/08 and continued 04/09.
2. What are these procedures?			
3. Does the command have a specific employee(s) assigned to process all CHP 735 forms?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:
4. If the answer to question 3 of this checklist is yes, is the responsibility of processing all CHP 735 forms listed in their job description or any other document?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks: SOP attached.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

INSPECTION PROGRAM

CHAPTER 8

COMMAND DUI COST RECOVERY

5. Are all CHP 735 forms forwarded to Fiscal Management Section (FMS) properly with completed criteria in either Section A or Section B of the form?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area has corrected
6. Does the command have a suspense system in place to facilitate notification of a conviction involving cases meeting the requirements of the Driving Under the Influence (DUI) Cost Recovery Program? This would involve cases where the following criteria applies: <ul style="list-style-type: none"> • A Blood Alcohol Content (BAC) under .08% • A chemical test is positive for drugs only • There is no supporting BAC test or drug test (i.e., a refusal) 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are CHP 735 forms completed based on the criteria of Section A of the form being forwarded to FMS within ten business days from one of the following dates? <ul style="list-style-type: none"> • The date of BAC results of $\geq .08\%$ were received • The date of BAC results of $\geq .04\%$ were received for a commercial driver 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are CHP 735 forms completed based on the criteria of Section B of the form being forwarded to FMS within ten business days from being notified of a conviction of California Vehicle Sections 23152 or 23153, or greater offence as a result of one of the following? <ul style="list-style-type: none"> • The person arrested refused to provide a chemical test • The arrest was for drugs only • A BAC of $\leq .08\%$ was obtained 	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area has corrected
9. Is the Itemized Staff Hours section of the CHP 735 completed as required in Highway Patrol Manual 11.1, Administrative Procedures Manual, and includes hours for all employees assigned to the incident?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. If the person arrested is transient, is the case being entered into the CHP 735A, Case Log-DUI Cost Recovery Program, without forwarding the CHP 735 to FMS?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The CHP 735A was not used as a tracking mechanism. Area has corrected.
11. Are staff hours involved in the incident recorded on the CHP 735 to the nearest ten minutes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do the total number of staff hours charged on the CHP 735 agree with the appropriate CHP 415, Daily Field Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area self identified / corrected this issue in 10/2008.

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

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CHAPTER 8

COMMAND DUI COST RECOVERY

13. Does the Notes portion of the CHP 415 indicate the billable DUI time when the CHP 415 includes more than one activity?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area began corrections 04/2009.
14. Are the staff hours incurred by members of the Department for the following activities associated with an incident meeting the criteria for DUI cost recovery included in the CHP 735? <ul style="list-style-type: none"> • Response Time • On-Scene Investigation • Follow-up Investigation • Report Writing • Vehicle Storage • Call Back • Field Sobriety Testing • Transportation • Booking • Chemical Testing • Traffic Control 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Are the staff hours for officers-in-charge, sergeants, lieutenants, or captains listed on the CHP 735 for time spent performing the activities listed in question 12 of this checklist and not exclusively supervisory tasks?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: No incidents to date apply
16. Is the current hourly rate for reimbursement, sent out to all commands via Comm-Net from FMS, being used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 735 being retained at the command and filed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the command utilizing the, optional, CHP 735A to track cases qualifying for the DUI Cost Recovery Program?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. In the absence of a CHP 735A, how is the command tracking the DUI Cost Recovery Program? Area uses a database spreadsheet, the T/C tracking coversheet, the arrest log and AIS to track DUI Cost recovery. Area is looking very closely at the tracking mechanisms to ensure they are all inclusive.				
20. Are commands using a case monitoring system to track cases qualifying for the DUI Cost Recovery Program including the following information in the monitoring system? <ul style="list-style-type: none"> • Defendant Information • Violation Information • Court Information • FMS Information • BAC test results 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Weekly Court Officer case disposition run

STATE OF CALIFORNIA
 DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
 CHAPTER 8
 COMMAND DUI COST RECOVERY

21	Are cases not resulting in a conviction within 12 months after submission to the District Attorney closed out after court verification of case status?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area has corrected by implementing the CHP 735/A
22	Do closed out cases on the monitoring system have a line drawn through the Conviction Date and Date to FMS as well as the reason the case was closed and date of last follow-up check?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23	Are refunds or overpayments, as a result of erroneous charges, in an amount of = \$5.00 being processed by the Department?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
24	Is the command reviewing the quarterly reports sent by FMS related to the submission of CHP 735 forms and case status identifying any deficiencies in the submission and accountability of the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: As of 1 st Quarter 2009
Question 25 pertains to Fiscal Management Section.					
25	Is FMS reviewing the CHP 735 forms for completeness of information and returning deficient forms to the issuing command for corrections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

M e m o r a n d u m

Date: June 8, 2009

To: Golden Gate Division

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Castro Valley Area

File No.: 375.12455.12455

Subject: REIMBURSABLE SERVICES AGREEMENT INSPECTION -
CORRECTIVE ACTION PLAN

On May 27, 2009, a Division-level inspection for the preceding 12-month period was conducted of the Reimbursable Services Agreement files in the Castro Valley CHP Area. In response to that inspection, the Castro Valley Area has created this Corrective Action Plan.

HISTORY:

When the Castro Valley Area learned that the Reimbursable Services Agreement program would be inspected, a thorough self inspection was conducted using the checklist contained in Highway Patrol Manual (HPM) 22.1, chapter 8. The self inspection was conducted by Office Services Supervisor I (OSS I) R. Amedio, #A15045. The self inspection revealed the following:

- The Castro Valley Area had five (5) reimbursable services agreements. 100% of the agreements were examined.
- Four of the reimbursable services agreements were coordinated by the former OSS I. Ms. Amedio, the current OSS I, was not involved in acquiring, processing, or managing the prior agreements. Ms. Amedio was responsible for the most recent agreement. There were no errors on the agreement obtained by Ms. Amedio.
- Two of the five agreements did not have the commander's signature as required.
- Three of the five agreements did not have the original documentation on file at the Area.
- One of the agreements did not contain a copy of the county resolution.
- Two of the agreements did not have invoices sent to Fiscal Management Section (FMS) within five days as required.
- When four of the agreements were in use, the control log was not forwarded to Division as required.

ISSUES IDENTIFIED DURING THE DIVISION-LEVEL INSPECTION:

- There was no procedure in place to provide inquiring parties with county permit contact information.
- There was no procedure in place for the assigned officer/sergeant to notify the reimbursable services agreement coordinator in the event of a short notice cancellation, normal cancellation, or refund deposit.
- There was no procedure in place for the assigned officer/sergeant to notify the reimbursable services agreement coordinator if additional hours and mileage were expended.
- The overtime documents were kept in multiple locations (Reimbursable services agreements kept in one file; CHP 71 forms in another file; CHP 415 forms in CARS; overtime reconciliation reports kept in a binder; etc.). This made it difficult to compare all of the documents to verify the billing information.
- There was no system in place to verify when an overtime report was sent to FMS or Division.

CORRECTIVE ACTION PLAN:

- It is not possible to correct past errors on the reimbursable services agreements. OSS 1 Amedio will ensure all policies and procedures are followed for future agreements.
- Area will create a form to be provided to the requesting party that will indicate how to get the necessary permits, resolutions, etc. This form will be generated by July 1, 2009.
- Area will discuss with the Overtime Coordinator the need for timely notifications of cancellations, refunds, or additional hours and mileage used. In addition, a briefing item will be prepared to inform field personnel of the new requirements. This will be accomplished by July 1, 2009.
- The overtime documents relating to reimbursable services agreements were consolidated in June 2009. The reimbursable services agreement file now contains the agreement, other relevant documentation, and the overtime documents (CHP 415 and CHP 71 forms).
- Area will make a notation on the overtime reconciliation report showing the date it was forwarded to FMS and Division. This will occur on the next overtime report due on June 15, 2009.

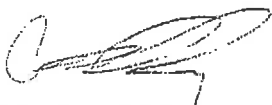
Golden Gate Division

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June 8, 2009

SUMMARY:

All of the identified issues from the self inspection were for past agreements. The issues identified during the Division inspection will be addressed and Area will continue to take an active role in managing reimbursable services agreements.

A handwritten signature in black ink, appearing to read 'C. B. Day', with a stylized flourish at the end.

C. B. DAY, Lieutenant
Acting Commander

M e m o r a n d u m

Date: June 1, 2009

To: Golden Gate Division

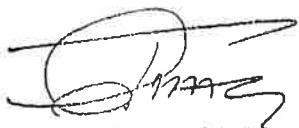
From: DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
Santa Rosa Area

File No.: 360.14058

Subject: COMMAND INSPECTION PROGRAM - DIVISION LEVEL INSPECTION
2ND QUARTER 2009

On May 27, 2009, in accordance with the Command Inspections Program Manual, HPM 22.1, I conducted a Division Level inspection at Castro Valley Area concerning Chapter 8, Reimbursable Services and the DUI Cost Recovery Program. I was assisted in the inspection by Sergeant Edward Delacruz, #014968. My Area contact for the inspection was Lieutenant Chris Day. Lieutenant Day is the Area Acting Commander and we had discussed the inspection process prior to my arrival. I was aware that Area had proactively self inspected their Reimbursable Services and DUI Cost Recovery files. Lieutenant Day welcomed the Inspection Team to Castro Valley Area, and provided us with a comfortable and private location in which to work. Lieutenant Day was personally involved in the inspection process and was very open to suggestions for improvement.

If you have any questions concerning this memorandum, please contact me at the Santa Rosa Area at (707) 588-1400.



G. P. TRACEY, Lieutenant
Field Operations Officer

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

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Command CASTRO VLY	Division GOLDEN GATE	Chapter 8
Inspected by G. P. TRACEY 014058		Date 05/27/2009

INSTRUCTIONS This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection 4.5	<input checked="" type="checkbox"/> Corrective Action Plan Included <input checked="" type="checkbox"/> Attachments Included
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: 301 Due Date: June 30, 2009		
Chapter Inspection: 8 – Command Reimbursable Services			
Inspector's Comments Regarding Innovative Practices:			

None

Command Suggestions for Statewide Improvement:

None

Inspector's Findings:

Area will provide proof of county permit approval in RSA file and provide county permit application contact information to requesting parties.

Area will prepare an SOP for RSA to include uniformed approval signature and designated approval in the absence of the commander.

Area will ensure that the original RSA (CHP 465) is signed and filed at Area.

Area will ensure that billing memorandums (CHP 467) are submitted to FMS in a timely manner.

Area will develop a method for officer/supervisor notification to RSA coordinator regarding short notice / cancellation / refund deposit – as well as notification if additional (unexpected) hours and mileage were expended.

Area will develop a manual tracking (date sent) method for the original overtime report transmission to FMS and an email tracking for the overtime report to Division. File copies will be marked accordingly.

Area will ensure that the CHP 71 for reimbursable overtime hours, non-uniformed, are kept in the overtime report file.

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Command CASTRO VLY	Division GOLDEN GATE	Chapter 8
Inspected by G. P. TRACEY 014058		Date 05/27/2009

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

Required Action:

Corrective Action Plan/Timeline:

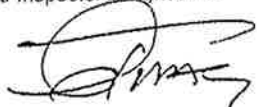

See Commander's Corrective Action Plan attached.

<input type="checkbox"/> Employee would like to discuss this report with the reviewer (See HPM 9 1, Chapter 8 for appeal procedures)	COMMANDER'S SIGNATURE 	DATE 6-8-09
	INSPECTOR'S SIGNATURE 	DATE 6-1-09
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE	DATE

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Command: Castro Valley	Division: Golden Gate	Number
Evaluated by G. P. TRACEY 014058		Date 05/27/2009
Assisted by N/A		Date

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: 	Date: 6-8-09
For applicable policies, refer to HPM 11.1, Chapter 6.			

Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.

1. Prior to the performance of services, is the contracting party informed of the rates charged for services, departmental equipment usage, and cancellation policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
2. Does the billing rate include mileage and other expenses such as uniform or equipment damage?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
3. When a safety service is provided to another state agency, is the agency's five-digit billing code obtained?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
4. Is the billing code documented on the Reimbursable Services Billing Memorandum?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
5. Is \$50 charged for each CHP uniformed employee assigned to the detail if the cancellation notification is less than 24 hours prior to the scheduled service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Is a minimum payment of 4 hours overtime charged when employee(s) could not be notified of the cancellation of their service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Is information regarding the procedures to obtain necessary right-of-way clearances or permits, local requirements, and other pertinent information made available to inquiring parties?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area w/provide inquiring parties with county permit contact info.
8. Are written requests for specific services directed to the appropriate command?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
9. Are traffic control services less than \$50,000 approved by Division?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
10. Are traffic control services estimated to be \$50,000 or more approved by the Office of the Commissioner?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
11. Are extraordinary protective services approved by the Assistant Commissioner, Field?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Division

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INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Questions 12 through 17 pertain to collecting advance deposits.

12. Is a Reimbursable Services Agreement (RSA) log number requested from Division for every contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
13. Is a CHP 465 form completed in accordance with policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area corrected
14. Are advance payments collected from the contracting company prior to the start of the service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is a CHP 251 prepared and mailed to the contracting company upon receipt of advance payments?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Is a CHP 467 prepared and submitted to the Fiscal Management Section upon completion of the contractual service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 465 attached to the weekly CHP 230, and if applicable, a CHP 169?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

Questions 18 through 31 pertain to the preparation of agreements.

18. Is a CHP 466 maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Do RSA numbers begin with the letter "R" to denote reimbursable services, followed by two digit fiscal year, three digit location code, and a sequential number for each agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Is the CHP 466 closed out at the end of each fiscal year with a new log implemented on July 1 beginning with the sequential number 001?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area CHP 466 in non-sequential Division CHP 466 is sequential
21. Are all sequential numbers accounted for when reconciling with the Billing Memorandum?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
22. Are sequential numbers not matching Billing Memorandums reconciled?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
23. Is the original RSA signed and filed at Area?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area corrected
24. Does the command proceed with all RSA arrangements, and if needed, ensure the requestor has obtained the necessary right-of-way, clearances, and permits?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area corrected.
25. Is the indemnification clause included in the agreement when requested?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
26. Is the inclusion of the indemnification clause approved by the Department of General Services, Office of Legal Services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
27. If the service is over \$50,000 per occasion, is a CHP 78R prepared and submitted to Contract Services Unit?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
28. Is a copy of the resolution, order, motion, or ordinance of the local governing body obtained when one of the contracting parties is a county, city, district, or other local public body?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area has an agreement w/ Alameda County Traffic Improvement Authority - no resolution in file
29. Are dignitary protection services referred to the Office of Dignitary Protection?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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CHAPTER 8
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30. Are CHP 312 forms, CHP 313 forms, and CHP 467 forms prepared when a statewide agreement is in effect?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
31. When state agencies are requesting a statewide agreement, are they referred to Enforcement Services Division, Field Support Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
Questions 32 through 38 pertain to training agreement procedures and reporting for services provided.				
32. Is a CHP 230 prepared by the contracting party when fees are collected on the day of the training session?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks
33. Are the original CHP 467 and contract agreement submitted to Fiscal Management Section (FMS) upon completion of services (other than COZEEP, MAZEEP, extraordinary protective services, and special projects) within 5 days?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area corrected
34. Are copies of CHP 467 forms forwarded to the next level of review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
35. Is the date when the Billing Memorandum was sent to FMS noted on the Reimbursable Services Control Log?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
36. Is a copy of the command's Reimbursable Services Control Log forwarded or e-mailed to the Division Coordinator at the end of each month?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
37. Is the Reimbursable Services Control Log verified with the copies of the Billing Memorandums to ensure all reimbursable time has been reported to FMS for billing purposes?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area corrected
38. Are outstanding items being inspected and resolved?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Questions 39 through 52 pertain to extraordinary protective services and report of overtime hours for reimbursable special projects.				
39. Is a copy of the CHP 467 and CHP 465 submitted to FMS upon completion of extraordinary protective services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks
40. Is a reimbursable special project code obtained on every contractual service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: ACTIA SPC 877
41. Is the overtime report(s) for reimbursable special project(s) used to reconcile CHP 415 forms for each special project?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
42. Are the special project codes on the overtime report(s) verified to ensure the correct special project code has been used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
43. Are all corrections noted on the overtime report(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: One prior report approved w/o mileage reconciliation.
44. Are overtime reports approved and dated by the commander after reconciling?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
45. Is the original overtime report(s) forwarded to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area to develop tracking system for submission.
46. Is a copy of the overtime report forwarded to Division by the 10 th of the month (except COZEEP/MAZEEP)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: NLT 4 working days after end of FLSA unless extended.

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 CHAPTER 8
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47. Are all COZEEP/MAZEEP reports forwarded to Division by the 15 th of the month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Division approved copies in Area file
48. Are all COZEEP/MAZEEP reports approved by Division and forwarded to FMS by the 30 th of the month?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
49. Is a copy of the CHP 71 attached to the overtime report(s) when there are reimbursable nonuniformed personnel hours?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area corrected
50. Is an amendment of service agreement requested prior to the fund being depleted, and if necessary, is the service discontinued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: 4 of 5 RSA are one day
51. Are all payments made directly to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
52. Does the command require delinquent companies to pay outstanding invoices in full prior to providing any future services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: HQ

M e m o r a n d u m

Date: June 29, 2009

To: Golden Gate Division

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Golden Gate Division


File No.: 360.14058

Subject: **COMMAND INSPECTION PROGRAM - DIVISION LEVEL INSPECTION**
2ND QUARTER 2009 - DUBLIN AREA

On June 25, 2009, Inspection Team 2, comprised of Lieutenant G. Tracey, concluded a Division Level inspection of the DUI Cost Recovery Program and Command Reimbursable Services at Dublin Area. The Area contact for the inspection was Lieutenant Lorraine Krolosky.

Area Incident Response Reimbursement Statements, CIHP 735, were reviewed for the past twelve months. A random sampling was selected for inspection. 100% of the CIHP 735s had the Daily Field Record, CIHP 415, attached. The CIHP 415s generally supported the CIHP 735, but were not completed in strict accordance with departmental policy. Area was not timely in the submission of the CIHP 735 to Fiscal Management Section in most instances.

Area Reimbursable Services Agreements, RSA, were reviewed for the past twelve months. Area engaged in 12 RSA during that time and all of the files were inspected. Area did not collect an advance deposit, in most cases, and was not timely in the submission of the billing memoranda to Fiscal Management Section. Area moved immediately to correct this oversight and has incorporated additional levels of review and training in to RSA procedures.


G. P. TRACEY
Lieutenant

Safety, Service, and Security

M e m o r a n d u m

Date: July 17, 2009

To: Golden Gate Division

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Dublin Area

File No.: 390.11767.11043

Subject: REIMBURSABLE SERVICES AGREEMENT INSPECTION -
CORRECTIVE ACTION PLAN

On June 25, 2009, a Division-level inspection for the preceding 12-month period was conducted of the Reimbursable Services Agreement files in the Dublin CHP Area. In response to that inspection, the Dublin Area has created this Corrective Action Plan.

HISTORY:

When the Dublin Area learned that the Reimbursable Services Agreement program would be inspected, a thorough self inspection was conducted using the checklist contained in Highway Patrol Manual (HPM) 22.1, Chapter 8. The self inspection was conducted by Lieutenant Lorraine Krolosky, I.D. 11043. The self inspection revealed the following:

- The Dublin Area had twelve (12) reimbursable services agreements. 100% of the agreements were examined.
- The contracts and the associated documents such as time sheets, CHP 465s, receipts and copies of checks were not organized in a central location, therefore; difficult to reconcile immediately.
- The CHP 467s (Billing Memoranda) had not been completed.
- The CHP 466 log had not been updated.
- Fees had not been collected from several vendors.
- There was a general lack of training and accountability for the paperwork transactions and thoroughness of completion of contract requirements.

July 17, 2009

ISSUES IDENTIFIED DURING THE DIVISION-LEVEL INSPECTION:

- The Dublin Area had twelve (12) reimbursable services agreements. 100% of the agreements were examined.
- Seven of the twelve agreements did not have the deposit collected in advance.
- Area did not submit billing memoranda, CHP 467, in a timely manner.
- Seven of the twelve RSAs had permits in file; one did not require a permit, four of the twelve permits were not present.

CORRECTIVE ACTION PLAN:

- Sergeant Marino will ensure all policies and procedures are followed for future agreements and a suspense system was created for a monthly audit.
- On-going training will be provided specific to each employee involved in the RSA program.
- Area has created a form to be provided to the requesting party that will indicate how to get the necessary permits, resolutions, etc.
- Area has discussed with the Overtime Coordinator the need for timely notifications of cancellations, refunds, or additional hours and mileage used. In addition, a briefing item will be prepared to inform field personnel of the new requirements. This has been accomplished as of July 1, 2009.
- The overtime documents relating to reimbursable services agreements were consolidated to a central location in June 2009. The reimbursable services agreement file now contains the agreement, other relevant documentation, and the overtime documents (CHP 415 and CHIP 71 forms).
- A check for the estimated cost of the services will be collected from the vendor/requestor before any reimbursable services are rendered.
- An Area checklist has been developed to ensure timely completion and submission of required documents.

SUMMARY:

The issues identified during the Division inspection will be addressed and Area will continue to take an active role in managing reimbursable services agreements.


M. M. MUELLER, Captain
Commander

M e m o r a n d u m

Date: July 17, 2009

To: Golden Gate Division

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Dublin Area

File No.: 390.11767.11043

Subject: CHP 735 (DUI COST RECOVERY) INSPECTION -
CORRECTIVE ACTION PLAN

On June 25, 2009, a Division-level inspection for the preceding 12-month period was conducted of the CHP 735 (DUI Cost Recovery) files in the Dublin CHP Area. In response to that inspection, the Area has created this Corrective Action Plan.

HISTORY:

Since February 2009, the Dublin Area has been experiencing issues with the completion of CHP 735s in a number of areas. CHP 735s were not being submitted in a timely manner, the time usage was not being reviewed by supervisors, and the forms were not being logged and tracked in an efficient manner. In the March 2009 staff meeting, the sergeants were instructed on the proper documentation of time and the review and timely submission of CHP735s. Field Personnel were briefed on the timeliness and accuracy of the documents. The court officer was directed to forward the chemical test results to the coordinator as soon as they arrived. These steps made a marked improvement in the timeliness of ultimate submission of CHP 735s to Fiscal Management Section (FMS).

When the Dublin Area learned that the DUI Cost Recovery program would be inspected, a thorough self inspection was conducted using the checklist contained in Highway Patrol Manual (HPM) 22.1, Chapter 8. Several issues were identified. The self inspection revealed the following:

- A number of CHP735s were not submitted to FMS in the required time limits.
- There was no Standard Operating Procedure in place for the completion of CHP735s.
- There was no tracking system in place for CHP 735 forms and the optional CHP 735A form was only partially utilized and not in an efficient manner.
- The CHP 415s did not thoroughly break down the necessary categories for time usage by the field officers.
- The chemical test results were not being relayed to Ms. Mohammad in a timely manner to facilitate the forms being sent to FMS as required.

Safety, Service, and Security

CORRECTIVE ACTION PLAN:

After identifying the issues, the following corrective action steps were taken:

- March and April 2009, Lt. Krolosky provided training to the Dublin Area sergeants relating to the proper review and processing of CHP 735 forms. This training included an overview of the program, the proper timekeeping on the CHP 735 and CHP 415s, and a review of timely submission of the forms.
- May 2009, Lt. Krolosky provided an Excel spreadsheet used to track CHP 735 forms to Ms. Mohammad for the tracking and routing of the CHP 735s. The spreadsheet included all of the required information as indicated in HPM 11.1, Chapter 20.
- May 2009, Lt. Krolosky created an advanced search in the Area Information System (AIS) that was used to determine what DUI-related collisions required a CHP 735 form. This search generated a list of collisions for 2008 and 2009. It was determined that all incidents had an associated CHP 735.
- May 2009, the court officer, Officer George Granada was instructed to add Ms. Mohammad to the email list of recipients of the blood test results so the results could be documented in a timely manner and the CHP 735s be sent to FMS quicker. Previously, she was receiving via mail approximately one week after the actual results were determined, lengthening the time of submission.
- June 2009, Area SOP was inserted and implemented as to Area's protocol and expectations of the program.

ISSUES IDENTIFIED DURING THE DIVISION-LEVEL INSPECTION:

- All of the issues identified in the self inspection were discussed with the Division Inspectors.
- CHP 415s generally supported the CHP735s but were not in strict accordance with departmental policy.
- CHP 735s were not submitted to FMS in a timely manner in most cases.

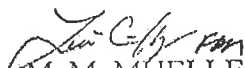
Golden Gate Division

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July 17, 2009

SUMMARY:

The discrepancies identified during the self inspection and Division inspection were resolved in the following manner. The Dublin Area has adopted Standard Operating Procedures (SOP) to ensure the new CHP 735 procedures are described in detail and departmental policies are adhered to. Measures are in place to ensure the chemical test results are noted on the CHP 735 and routed to FMS in the specified timeframes. Training has been provided to field personnel, supervisors and the office assistant on the proper procedures for the completion of the CHP 735 and associated paperwork. Finally, Area will continue to take an active role in managing and monitoring CHP 735 forms and has implemented a monthly audit program.


M. M. MUELLER, Captain
Commander

STATE OF CALIFORNIA
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Command: Dublin	Division: Golden Gate	Chapter: 8
Inspected by: G. P. Tracey 014058		Date: 06/25/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level	Total hours expended on the inspection: <div style="text-align: center;">2</div>	<input checked="" type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: 301 Due Date: June 30, 2009	
Chapter Inspection: 8 – Command Reimbursable Services		
Inspector's Comments Regarding Innovative Practices:		

None

Command Suggestions for Statewide Improvement:

None

Inspector's Findings:

Area had 12 reimbursable services agreements, RSA, in the past 12 months. All RSA for that time period were inspected.

7 of 12 agreements did not have the deposit collected in advance.

Area did not submit billing memoranda, CHP 467, in a timely manner.

7 of 12 RSA had permits in file, 1 did not require a permit, 4 of 12 a permits were not present.

Area has instruction and examples for personnel preparing a RSA. The RSA binder has the applicable departmental policy too. Area has a primary contact for RSA. Area is incorporating additional levels of oversight and training to ensure full compliance with departmental policy.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

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Command: Dublin	Division: Golden Gate	Chapter: 8
Inspected by: G. P. Tracey 014058		Date: 06/25/2009

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

Required Action:

Corrective Action Plan/Timeline:

See Commander's Corrective Action Plan attached.

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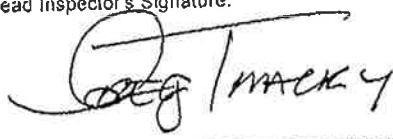
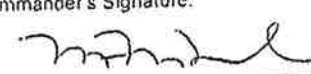
Command	Division	Chapter
Dublin	Golden Gate	8
Inspected by	Date	
G. P. Tracey 014058	06/25/2009	

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPMS 1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 7/10/09
<input type="checkbox"/> Reviewer discussed this report with employee	INSPECTOR'S SIGNATURE 	DATE 6-29-09
<input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE 	DATE 7/15/09

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Command: Dublin	Division: Golden Gate	Number:
Evaluated by: G. P. Tracey 014058		Date: 06/25/2009
Assisted by: N/A		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection			Lead Inspector's Signature: 	
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			Commander's Signature: 	
<input type="checkbox"/> Follow-Up Inspection BY: _____			Date: 7/10/09	
For applicable policies, refer to HPM 11.1, Chapter 6.				
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.				
1. Prior to the performance of services, is the contracting party informed of the rates charged for services, departmental equipment usage, and cancellation policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Does the billing rate include mileage and other expenses such as uniform or equipment damage?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. When a safety service is provided to another state agency, is the agency's five-digit billing code obtained?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
4. Is the billing code documented on the Reimbursable Services Billing Memorandum?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
5. Is \$50 charged for each CHP uniformed employee assigned to the detail if the cancellation notification is less than 24 hours prior to the scheduled service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Is a minimum payment of 4 hours overtime charged when employee(s) could not be notified of the cancellation of their service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Is information regarding the procedures to obtain necessary right-of-way clearances or permits, local requirements, and other pertinent information made available to inquiring parties?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area will provide permit application info to requesting parties.
8. Are written requests for specific services directed to the appropriate command?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are traffic control services less than \$50,000 approved by Division?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Are traffic control services estimated to be \$50,000 or more approved by the Office of the Commissioner?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are extraordinary protective services approved by the Assistant Commissioner, Field?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Questions 12 through 17 pertain to collecting advance deposits				
12. Is a Reimbursable Services Agreement (RSA) log number requested from Division for every contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Is a CHP 465 form completed in accordance with policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are advance payments collected from the contracting company prior to the start of the service?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area corrected this exception.
15. Is a CHP 251 prepared and mailed to the contracting company upon receipt of advance payments?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Is a CHP 467 prepared and submitted to the Fiscal Management Section upon completion of the contractual service(s)?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area has corrected this exception as of June 2009.
17. Is a copy of the CHP 465 attached to the weekly CHP 230, and if applicable, a CHP 169?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Verified on 0317,0407,0413
Questions 18 through 31 pertain to the preparation of agreements				
18. Is a CHP 466 maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Do RSA numbers begin with the letter "R" to denote reimbursable services, followed by two digit fiscal year, three digit location code, and a sequential number for each agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Is the CHP 466 closed out at the end of each fiscal year with a new log implemented on July 1 beginning with the sequential number 001?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are all sequential numbers accounted for when reconciling with the Billing Memorandum?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are sequential numbers not matching Billing Memorandums reconciled?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Division handles.
23. Is the original RSA signed and filed at Area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Does the command proceed with all RSA arrangements, and if needed, ensure the requestor has obtained the necessary right-of-way, clearances, and permits?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
25. Is the indemnification clause included in the agreement when requested?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
26. Is the inclusion of the indemnification clause approved by the Department of General Services, Office of Legal Services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
27. If the service is over \$50,000 per occasion, is a CHP 78R prepared and submitted to Contract Services Unit?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
28. Is a copy of the resolution, order, motion, or ordinance of the local governing body obtained when one of the contracting parties is a county, city, district, or other local public body?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: City of Dublin RSA
29. Are dignitary protection services referred to the Office of Dignitary Protection?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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30. Are CHP 312 forms, CHP 313 forms, and CHP 467 forms prepared when a statewide agreement is in effect?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
31. When state agencies are requesting a statewide agreement, are they referred to Enforcement Services Division, Field Support Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Questions 32 through 38 pertain to training agreement procedures and reporting for services provided:				
32. Is a CHP 230 prepared by the contracting party when fees are collected on the day of the training session?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
33. Are the original CHP 467 and contract agreement submitted to Fiscal Management Section (FMS) upon completion of services (other than COZEEL, MAZEEL, extraordinary protective services, and special projects) within 5 days?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area has corrected this exception as of June 2009.
34. Are copies of CHP 467 forms forwarded to the next level of review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Is the date when the Billing Memorandum was sent to FMS noted on the Reimbursable Services Control Log?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
36. Is a copy of the command's Reimbursable Services Control Log forwarded or e-mailed to the Division Coordinator at the end of each month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
37. Is the Reimbursable Services Control Log verified with the copies of the Billing Memorandums to ensure all reimbursable time has been reported to FMS for billing purposes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are outstanding items being inspected and resolved?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Questions 39 through 52 pertain to extraordinary protective services and report of overtime hours for reimbursable special projects:				
39. Is a copy of the CHP 467 and CHP 465 submitted to FMS upon completion of extraordinary protective services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
40. Is a reimbursable special project code obtained on every contractual service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
41. Is the overtime report(s) for reimbursable special project(s) used to reconcile CHP 415 forms for each special project?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
42. Are the special project codes on the overtime report(s) verified to ensure the correct special project code has been used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
43. Are all corrections noted on the overtime report(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
44. Are overtime reports approved and dated by the commander after reconciling?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
45. Is the original overtime report(s) forwarded to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
46. Is a copy of the overtime report forwarded to Division by the 10 th of the month (except COZEEL/MAZEEL)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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 CHAPTER 8
 COMMAND REIMBURSABLE SERVICES

47. Are all COZEER/MAZEER reports forwarded to Division by the 15 th of the month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
48. Are all COZEER/MAZEER reports approved by Division and forwarded to FMS by the 30 th of the month?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Division handles.
49. Is a copy of the CHP 71 attached to the overtime report(s) when there are reimbursable nonuniformed personnel hours?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
50. Is an amendment of service agreement requested prior to the fund being depleted, and if necessary, is the service discontinued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
51. Are all payments made directly to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
52. Does the command require delinquent companies to pay outstanding invoices in full prior to providing any future services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: HQ handles.

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COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Dublin	Division: Golden Gate	Chapter: 8
Inspected by: G. P. Tracey 014058		Date: 06/10/2009

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INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 3	<input checked="" type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: 301 Due Date: June 30, 2009		
Chapter Inspection: 8 – DUI Cost Recovery Program			
Inspector's Comments Regarding Innovative Practices:			

None

Command Suggestions for Statewide Improvement:

Area recommends the A415 "Notes" section be modified to support the required CHP 735 staff activity documentation. Area recommends consideration of a drop down menu with the 11 staff activity(s) pre-flighted with a space for the time increments to be documented.

Inspector's Findings:

Area prepared 98 Incident Response Reimbursement Statements, CHP 735, in the past twelve months. 25 statements were selected randomly and inspected. 10 of 25 were submitted to Fiscal Management Section, FMS, within policy timelines. 4 of 25 were prepared without the "Date to Fiscal Management" box completed. 1 of 25 was submitted to FMS twice.

100% of the CHP 735s had the Daily Field Record, CHP 415, attached. The CHP 415s supported the CHP 735 though they were not completed in strict accordance with the Administrative Procedures Manual, HPM 11.1, Chpt 6.

Commander's Response: ☐ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

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Command: Dublin	Division: Golden Gate	Chapter: 8
Inspected by: G. P. Tracey 014058		Date: 06/10/2009

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

Required Action:

Corrective Action Plan/Timeline:

See Commander's Corrective Action Plan attached.

STATE OF CALIFORNIA
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Command: Dublin	Division: Golden Gate	Chapter: 8
Inspected by: G. P. Tracey 014058		Date: 06/10/2009

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE	DATE
	INSPECTOR'S SIGNATURE	DATE
<input type="checkbox"/> Reviewer discussed this report with employee	REVIEWER'S SIGNATURE	DATE
<input type="checkbox"/> Concur <input type="checkbox"/> Do not concur		

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND DUI COST RECOVERY

Command: Dublin	Division: Golden Gate	Number:
Evaluated by: G. P. Tracey 014058		Date: 06/10/2009
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Office of Inspections <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature:	
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature:	Date:
For applicable policies, refer to HPM 11.1, Chapter 20.			
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.			
1. Does the command have sufficient procedures to ensure that a CHP 735, Incident Response Reimbursement Statement, is prepared for each arrest that meets the cost recovery criteria?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
2. What are these procedures? Area has updated a SOP that details responsibilities for civilians, officers, sergeants and managers regarding the DUI Cost Recovery Program.			
3. Does the command have a specific employee(s) assigned to process all CHP 735 forms?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
4. If the answer to question 3 of this checklist is yes, is the responsibility of processing all CHP 735 forms listed in their job description or any other document?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:

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COMMAND DUI COST RECOVERY

5. Are all CHP 735 forms forwarded to Fiscal Management Section (FMS) properly with completed criteria in either Section A or Section B of the form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Does the command have a suspense system in place to facilitate notification of a conviction involving cases meeting the requirements of the Driving Under the Influence (DUI) Cost Recovery Program? This would involve cases where the following criteria applies: <ul style="list-style-type: none"> • A Blood Alcohol Content (BAC) under .08% • A chemical test is positive for drugs only • There is no supporting BAC test of drug test (i.e., a refusal) 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are CHP 735 forms completed based on the criteria of Section A of the form being forwarded to FMS within ten business days from one of the following dates? <ul style="list-style-type: none"> • The date of BAC results of \geq.08% were received • The date of BAC results of \geq.04% were received for a commercial driver 	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: 50% on time record to improve with heightened oversight.
8. Are CHP 735 forms completed based on the criteria of Section B of the form being forwarded to FMS within ten business days from being notified of a conviction of California Vehicle Sections 23152 or 23153, or greater offence as a result of one of the following? <ul style="list-style-type: none"> • The person arrested refused to provide a chemical test • The arrest was for drugs only • A BAC of $<$.08% was obtained 	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area checks court dispositions in a more timely manner after updating SOP following self inspection.
9. Is the Itemized Staff Hours section of the CHP 735 completed as required in Highway Patrol Manual 11.1, Administrative Procedures Manual, and includes hours for all employees assigned to the incident?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. If the person arrested is transient, is the case being entered into the CHP 735A, Case Log-DUI Cost Recovery Program, without forwarding the CHP 735 to FMS?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: None to date.
11. Are staff hours involved in the incident recorded on the CHP 735 to the nearest ten minutes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do the total number of staff hours charged on the CHP 735 agree with the appropriate CHP 415, Daily Field Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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COMMAND DUI COST RECOVERY

13. Does the Notes portion of the CHP 415 indicate the billable DUI time when the CHP 415 includes more than one activity?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Updated SOP – Briefing to correct
14. Are the staff hours incurred by members of the Department for the following activities associated with an incident meeting the criteria for DUI cost recovery included in the CHP 735? <ul style="list-style-type: none"> • Response Time • On-Scene Investigation • Follow-up Investigation • Report Writing • Vehicle Storage • Call Back • Field Sobriety Testing • Transportation • Booking • Chemical Testing • Traffic Control 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Are the staff hours for officers-in-charge, sergeants, lieutenants, or captains listed on the CHP 735 for time spent performing the activities listed in question 12 of this checklist and not exclusively supervisory tasks?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: None to date.
16. Is the current hourly rate for reimbursement, sent out to all commands via Comm-Net from FMS, being used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 735 being retained at the command and filed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the command utilizing the, optional, CHP 735A to track cases qualifying for the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: 2009
19. In the absence of a CHP 735A, how is the command tracking the DUI Cost Recovery Program? Area updated the SOP regarding the DUI Cost Recovery Program and uses a spreadsheet for tracking/oversight of CHP 735s.				
20. Are commands using a case monitoring system to track cases qualifying for the DUI Cost Recovery Program including the following information in the monitoring system? <ul style="list-style-type: none"> • Defendant Information • Violation Information • Court Information 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: AIS / Court Records

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 CHAPTER 8
 COMMAND DUI COST RECOVERY

<ul style="list-style-type: none"> FMS Information BAC test results 				
21. Are cases not resulting in a conviction within 12 months after submission to the District Attorney closed out after court verification of case status?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: 735A / AIS Tracking
22. Do closed out cases on the monitoring system have a line drawn through the Conviction Date and Date to FMS as well as the reason the case was closed and date of last follow-up check?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Are refunds or overpayments, as a result of erroneous charges, in an amount of = \$5.00 being processed by the Department?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Is the command reviewing the quarterly reports sent by FMS related to the submission of CHP 735 forms and case status identifying any deficiencies in the submission and accountability of the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Question 25 pertains to Fiscal Management Section.				
25. Is FMS reviewing the CHP 735 forms for completeness of information and returning deficient forms to the issuing command for corrections?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

M e m o r a n d u m

Date: July 1, 2009

To: Golden Gate Division

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Oakland Area

File No.: 370.12322

Subject: ~~RESPONSE TO OAKLAND AREA COMMAND DUI COST RECOVERY~~
INSPECTION REPORT

This memorandum is intended to serve as the written response to the draft command DUI cost recovery inspection report of the Oakland Area.

FINDINGS REQUIRING FOLLOW-UP:**Finding 1 – Agree****Finding 2 – Agree.****Finding 3 – Agree.****CORRECTIVE ACTION PLAN:**

After completion of a self inspection, all Oakland Area personnel were briefed on the requirements for and proper completion the CHP 735, *Incident Response Reimbursement Statement*, and associated CHP 415s, *Daily Field Record*. The self inspection and subsequent Division-level inspection also identified deficiencies in adequate tracking of CHP 735s and timely submission. The Oakland Area has made immediate changes in the procedures for the submission, processing, and tracking of incidents that meet the DUI cost recovery criteria. Those revisions have been disseminated to the appropriate Area personnel and the Area SOP has been revised to incorporate those changes.

Area has created a processing checklist to be attached to each CHP 735 by the reviewing sergeant. In addition to the necessary tracking information, the checklist includes questions to ensure the proper submission of the cost recovery form and associated documents. The checklist must be completed by the reviewing sergeant, Court Liaison Officers, and the clerical employee responsible for submission of CHP 735s. Upon submission for approval, the checklist will be signed by the Area commander or designee and filed with Area copies of the documents.

Safety, Service, and Security

Golden Gate Division

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July 1, 2009

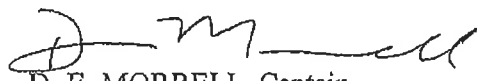
Primary and alternate DUI Cost Recovery supervisors have been selected to oversee the submission, tracking, and verification process. On a minimum of a monthly basis, those supervisors will compare the submitted CHP 735s listed on the CHP 735A, *Case Log—Dui Cost Recovery Program*, with the number of investigated collisions involving impaired drivers, utilizing AIS. A list, if any, of missing CHP 735s will be sent to Area management by the 5th of each month.

A server directory has been created to maintain, by year, electronic versions of the CHP 735A; the directory is accessible by Area managers, supervisors, Court Liaison Officers, and appropriate support staff. A separate CHP 735A will be maintained for suspected impaired drivers who submit to breath tests, blood/urine tests, or refused to complete any of the required chemical tests, for a total of three logs. This will aide in the tracking of blood/urine test results and convictions (for refusals) by the DUI Cost Recovery supervisors, clerical employee, and/or the Court Liaison Officers. The status of those cases will be checked on a minimum of once per week.

The DUI Cost Recovery supervisors will conduct quarterly inspections of the command files to confirm compliance with Department policies and Area SOP. A member of Area management will conduct periodic spot checks to verify compliance.

The corrective action plan has been successfully completed, with all Findings being addressed and all recommendations implemented. Therefore, this will serve as a final report and no quarterly updates will be necessary

Questions regarding this response may be directed to Lieutenant B. J. Whitten or me at (510) 450-3821.



D. E. MORRELL, Captain
Commander

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Oakland	Division: Golden Gate	Chapter: 8
Inspected by: G.P. Tracey 014058		Date: June 24, 2009

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INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 2.5	<input checked="" type="checkbox"/> Corrective Action Plan Included <input checked="" type="checkbox"/> Attachments Included
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: Due Date:		
Chapter Inspection: 8 – DUI COST RECOVERY PROGRAM			
Inspector's Comments Regarding Innovative Practices:			

None

Command Suggestions for Statewide Improvement:

None

Inspector's Findings:

38 of 70 available Incident Response Reimbursement Statements, CHP 735, were inspected from the prior twelve months. Area had more qualifying incidents during the prior twelve months than were accounted for by CHP 735 preparation / files.

Area does not have an adequate tracking system to ensure that the CHP 735 is prepared, approved and submitted in a timely manner.

Area self inspected prior to the Division Level inspection and is making corrections to local procedures for DUI Cost recovery.

See Commander's Corrective Action Plan attached.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Oakland	Division: Golden Gate	Chapter: 8
Inspected by: G.P. Tracey 014058		Date: June 24, 2009

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Required Action:

Corrective Action Plan/Timeline:

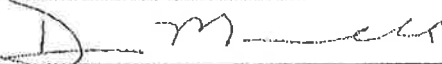
After completion of a self inspection, all Oakland Area personnel were briefed on the requirements for and proper completion the CHP 735, *Incident Response Reimbursement Statement*, and associated CHP 415s, *Daily Field Record*. The self inspection and subsequent Division-level inspection also identified deficiencies in adequate tracking of CHP 735s and timely submission. The Oakland Area has made immediate changes in the procedures for the submission, processing, and tracking of incidents that meet the DUI cost recovery criteria. Those revisions have been disseminated to the appropriate Area personnel and the Area SOP is currently being revised to incorporate those changes.

Area has created a processing checklist to be attached to each CHP 735 by the reviewing sergeant. In addition to the necessary tracking information, the checklist includes questions to ensure the proper submission of the cost recovery form and associated documents. The checklist must be completed by the reviewing sergeant, Court Liaison Officers, and the clerical employee responsible for submission of CHP 735s. Upon submission for approval, the checklist will be signed by the Area commander or designee and filed with Area copies of the documents.

Primary and alternate DUI Cost Recovery supervisors have been selected to oversee the submission, tracking, and verification process. On a minimum of a monthly basis, those supervisors will compare the submitted CHP 735s listed on the CHP 735A, *Case Log—Dui Cost Recovery Program*, with the number of investigated collisions involving impaired drivers, utilizing AIS. A list, if any, of missing CHP 735s will be sent to Area management by the 5th of each month.

A server directory has been created to maintain, by year, electronic versions of the CHP 735A; the directory is accessible by Area managers, supervisors, Court Liaison Officers, and appropriate support staff. A separate CHP 735A will be maintained for suspected impaired drivers who submit to breath tests, blood/urine tests, or refused to complete any of the required chemical tests, for a total of three logs. This will aide in the tracking of blood/urine test results and convictions (for refusals) by the DUI Cost Recovery supervisors, clerical employee, and/or the Court Liaison Officers. The status of those cases will be checked on a minimum of once per week.

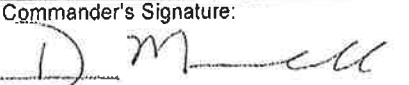
The DUI Cost Recovery supervisors will conduct quarterly inspections of the command files to confirm compliance with Department policies and Area SOP. A member of Area management will conduct periodic spot checks to verify compliance.

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 7-1-2009
	INSPECTOR'S SIGNATURE	DATE
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE	DATE

STATE OF CALIFORNIA
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INSPECTION PROGRAM
CHAPTER 8
COMMAND DUI COST RECOVERY

Command: Oakland	Division: Golden Gate	Number:
Evaluated by: G.P. Tracey 014058		Date: 06/24/2009
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:	
<input checked="" type="checkbox"/> Division Level	<input type="checkbox"/> Command Level		
<input type="checkbox"/> Office of Inspections	<input type="checkbox"/> Voluntary Self-Inspection		
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Follow-Up Inspection BY: _____	Commander's Signature: 	Date: 7-1-09
For applicable policies, refer to HPM 11.1, Chapter 20.			
Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.			
1. Does the command have sufficient procedures to ensure that a CHP 735, Incident Response Reimbursement Statement, is prepared for each arrest that meets the cost recovery criteria?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A Remarks: Area has more qualifying incidents in the last twelve months than there are CHP 735s in file.
2. What are these procedures?			
3. Does the command have a specific employee(s) assigned to process all CHP 735 forms?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
4. If the answer to question 3 of this checklist is yes, is the responsibility of processing all CHP 735 forms listed in their job description or any other document?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:

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CHAPTER 8

COMMAND DUI COST RECOVERY

5. Are all CHP 735 forms forwarded to Fiscal Management Section (FMS) properly with completed criteria in either Section A or Section B of the form?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area was not timely in submission but is self correcting.
6. Does the command have a suspense system in place to facilitate notification of a conviction involving cases meeting the requirements of the Driving Under the Influence (DUI) Cost Recovery Program? This would involve cases where the following criteria applies: <ul style="list-style-type: none"> A Blood Alcohol Content (BAC) under .08% A chemical test is positive for drugs only There is no supporting BAC test of drug test (i.e., a refusal) 	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area will retrain all personnel involved in the submission/tracking of CHP 735s. Area will attempt to use court inquiry systems to expedite conviction date notifications.
7. Are CHP 735 forms completed based on the criteria of Section A of the form being forwarded to FMS within ten business days from one of the following dates? <ul style="list-style-type: none"> The date of BAC results of $\geq .08\%$ were received The date of BAC results of $\geq .04\%$ were received for a commercial driver 	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area is correcting with tracking form.
8. Are CHP 735 forms completed based on the criteria of Section B of the form being forwarded to FMS within ten business days from being notified of a conviction of California Vehicle Sections 23152 or 23153, or greater offence as a result of one of the following? <ul style="list-style-type: none"> The person arrested refused to provide a chemical test The arrest was for drugs only A BAC of $< .08\%$ was obtained 	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area is correcting.
9. Is the Itemized Staff Hours section of the CHP 735 completed as required in Highway Patrol Manual 11.1, Administrative Procedures Manual, and includes hours for all employees assigned to the incident?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Currently
10. If the person arrested is transient, is the case being entered into the CHP 735A, Case Log-DUI Cost Recovery Program, without forwarding the CHP 735 to FMS?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: None to date.
11. Are staff hours involved in the incident recorded on the CHP 735 to the nearest ten minutes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do the total number of staff hours charged on the CHP 735 agree with the appropriate CHP 415, Daily Field Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Some 735s missing 415s. Supervisors and officers have been re-briefed on policy.

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 CHAPTER 8
 COMMAND DUI COST RECOVERY

13. Does the Notes portion of the CHP 415 indicate the billable DUI time when the CHP 415 includes more than one activity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Currently
14. Are the staff hours incurred by members of the Department for the following activities associated with an incident meeting the criteria for DUI cost recovery included in the CHP 735? <ul style="list-style-type: none"> • Response Time • On-Scene Investigation • Follow-up Investigation • Report Writing • Vehicle Storage • Call Back • Field Sobriety Testing • Transportation • Booking • Chemical Testing • Traffic Control 	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Currently
15. Are the staff hours for officers-in-charge, sergeants, lieutenants, or captains listed on the CHP 735 for time spent performing the activities listed in question 12 of this checklist and not exclusively supervisory tasks?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: None to date
16. Is the current hourly rate for reimbursement, sent out to all commands via Comm-Net from FMS, being used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 735 being retained at the command and filed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the command utilizing the, optional, CHP 735A to track cases qualifying for the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. In the absence of a CHP 735A, how is the command tracking the DUI Cost Recovery Program?				
20. Are commands using a case monitoring system to track cases qualifying for the DUI Cost Recovery Program including the following information in the monitoring system? <ul style="list-style-type: none"> • Defendant Information • Violation Information • Court Information • FMS Information • BAC test results 	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area is correcting this oversight.

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CHAPTER 8

COMMAND DUI COST RECOVERY

21. Are cases not resulting in a conviction within 12 months after submission to the District Attorney closed out after court verification of case status?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area is correcting.
22. Do closed out cases on the monitoring system have a line drawn through the Conviction Date and Date to FMS as well as the reason the case was closed and date of last follow-up check?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area is correcting.
23. Are refunds or overpayments, as a result of erroneous charges, in an amount of = \$5.00 being processed by the Department?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Is the command reviewing the quarterly reports sent by FMS related to the submission of CHP 735 forms and case status identifying any deficiencies in the submission and accountability of the DUI Cost Recovery Program?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
Question 25 pertains to Fiscal Management Section.				
25. Is FMS reviewing the CHP 735 forms for completeness of information and returning deficient forms to the issuing command for corrections?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: HQ

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Command: Oakland	Division: Golden Gate	Chapter: 8
Inspected by: G. P. Tracey 014058		Date: 06/24/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input checked="" type="checkbox"/> Division Level <input type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level	Total hours expended on the inspection: 2	<input checked="" type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: 301 Due Date: June 30, 2009	

Chapter Inspection: 8 –COMMAND REIMBURSABLE SERVICES

Inspector's Comments Regarding Innovative Practices:

None

Command Suggestions for Statewide Improvement:

None

Inspector's Findings:

25 Letters of Agreement, CHP 465, in file for prior 12 months. 5 were inspected.

The majority of agreements are one day professional/amateur sports club "escorts."

Area should focus on the submission of billing memoranda, CHP 467, with correct supporting documentation, within required timelines.

Files should include a copy of the deposit check collected, a counter receipt, CHP 251, and Daily Field Records, CHP 415, to support the billing memorandum.

See Commander's Corrective Action Plan attached.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

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Command: Oakland	Division: Golden Gate	Chapter: 8
Inspected by: G. P. Tracey 014058		Date: 06/24/2009

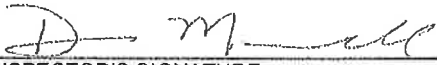
Required Action:

Corrective Action Plan/Timeline:

The Area self inspection and subsequent Division-level inspection identified deficiencies in the maintaining of copies of all associated documents in command files and timely submission of the CHP 467, *Billing Memorandum - Reimbursable Services*. The Oakland Area has made immediate changes in the procedures for the submission, processing, and tracking of reimbursable services agreements. Those revisions have been disseminated to the appropriate Area personnel and the Area SOP is currently being revised to incorporate those changes.

Primary and alternate Reimbursable Services supervisors have been selected to oversee the submission, tracking, and verification process. Area has created a processing checklist to be attached to each request for reimbursable services. The checklist must be completed by the appropriate sergeant, Area Overtime Coordinator, and/or the clerical employee responsible for submission of reimbursable services agreements. Upon submission for approval, the checklist will be signed by the Area commander or designee and filed with Area copies of the documents.

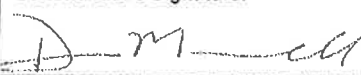
A server directory has been created to maintain, by year, electronic versions of the CHP 466, *Reimbursable Services Control Log (Under \$50,000)*; the directory is accessible by Area managers, supervisors, and appropriate support staff. The Reimbursable Services supervisors will conduct quarterly inspections of the command files to confirm compliance with Department policies and Area SOP. A member of Area management will conduct periodic spot checks to verify compliance.

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 7-1-09
	INSPECTOR'S SIGNATURE	DATE
<input type="checkbox"/> Reviewer discussed this report with employee <input type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE	DATE

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
INSPECTION PROGRAM
CHAPTER 8
COMMAND REIMBURSABLE SERVICES

Command: Oakland	Division: Golden Gate	Number:
Evaluated by: G. P. Tracey 014058		Date: 06/24/2009
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any "No" answers, discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:	
<input checked="" type="checkbox"/> Division Level	<input type="checkbox"/> Command Level	 Commander's Signature:	
<input type="checkbox"/> Office of Inspections	<input type="checkbox"/> Voluntary Self-Inspection		
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Follow-Up Inspection BY: _____		
For applicable policies, refer to HPM 11.1, Chapter 6.			

Note: If a "No" or "N/A" box is checked, the "Remarks" section shall be utilized for explanation.

1. Prior to the performance of services, is the contracting party informed of the rates charged for services, departmental equipment usage, and cancellation policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Does the billing rate include mileage and other expenses such as uniform or equipment damage?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. When a safety service is provided to another state agency, is the agency's five-digit billing code obtained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Is the billing code documented on the Reimbursable Services Billing Memorandum?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Is \$50 charged for each CHP uniformed employee assigned to the detail if the cancellation notification is less than 24 hours prior to the scheduled service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Is a minimum payment of 4 hours overtime charged when employee(s) could not be notified of the cancellation of their service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Is information regarding the procedures to obtain necessary right-of-way clearances or permits, local requirements, and other pertinent information made available to inquiring parties?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are written requests for specific services directed to the appropriate command?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are traffic control services less than \$50,000 approved by Division?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Are traffic control services estimated to be \$50,000 or more approved by the Office of the Commissioner?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are extraordinary protective services approved by the Assistant Commissioner, Field?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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CHAPTER 8

COMMAND REIMBURSABLE SERVICES

Questions 12 through 17 pertain to collecting advance deposits.

12. Is a Reimbursable Services Agreement (RSA) log number requested from Division for every contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Is a CHP 465 form completed in accordance with policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are advance payments collected from the contracting company prior to the start of the service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is a CHP 251 prepared and mailed to the contracting company upon receipt of advance payments?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Not present in one file inspected.
16. Is a CHP 467 prepared and submitted to the Fiscal Management Section upon completion of the contractual service(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is a copy of the CHP 465 attached to the weekly CHP 230, and if applicable, a CHP 169?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

Questions 18 through 31 pertain to the preparation of agreements.

18. Is a CHP 466 maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Do RSA numbers begin with the letter "R" to denote reimbursable services, followed by two digit fiscal year, three digit location code, and a sequential number for each agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Is the CHP 466 closed out at the end of each fiscal year with a new log implemented on July 1 beginning with the sequential number 001?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area to correct with implementation of local CHP 466
21. Are all sequential numbers accounted for when reconciling with the Billing Memorandum?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are sequential numbers not matching Billing Memorandums reconciled?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: One R# for 2007 had 2006 indicator.
23. Is the original RSA signed and filed at Area?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Copies only.
24. Does the command proceed with all RSA arrangements, and if needed, ensure the requestor has obtained the necessary right-of-way, clearances, and permits?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
25. Is the indemnification clause included in the agreement when requested?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
26. Is the inclusion of the indemnification clause approved by the Department of General Services, Office of Legal Services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
27. If the service is over \$50,000 per occasion, is a CHP 78R prepared and submitted to Contract Services Unit?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
28. Is a copy of the resolution, order, motion, or ordinance of the local governing body obtained when one of the contracting parties is a county, city, district, or other local public body?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: None inspected.
29. Are dignitary protection services referred to the Office of Dignitary Protection?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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COMMAND REIMBURSABLE SERVICES

30. Are CHP 312 forms, CHP 313 forms, and CHP 467 forms prepared when a statewide agreement is in effect?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area to use all required forms for future DIR/WCAB stand by services.
31. When state agencies are requesting a statewide agreement, are they referred to Enforcement Services Division, Field Support Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

Questions 32 through 38 pertain to training agreement procedures and reporting for services provided.

32. Is a CHP 230 prepared by the contracting party when fees are collected on the day of the training session?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
33. Are the original CHP 467 and contract agreement submitted to Fiscal Management Section (FMS) upon completion of services (other than COZEED, MAZEED, extraordinary protective services, and special projects) within 5 days?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area to improve upon timely submission by incorporating training for involved personnel and additional oversight for timelines.
34. Are copies of CHP 467 forms forwarded to the next level of review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Is the date when the Billing Memorandum was sent to FMS noted on the Reimbursable Services Control Log?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area to correct.
36. Is a copy of the command's Reimbursable Services Control Log forwarded or e-mailed to the Division Coordinator at the end of each month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
37. Is the Reimbursable Services Control Log verified with the copies of the Billing Memorandums to ensure all reimbursable time has been reported to FMS for billing purposes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are outstanding items being inspected and resolved?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

Questions 39 through 52 pertain to extraordinary protective services and report of overtime hours for reimbursable special projects.

39. Is a copy of the CHP 467 and CHP 465 submitted to FMS upon completion of extraordinary protective services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Division Handles
40. Is a reimbursable special project code obtained on every contractual service?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
41. Is the overtime report(s) for reimbursable special project(s) used to reconcile CHP 415 forms for each special project?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
42. Are the special project codes on the overtime report(s) verified to ensure the correct special project code has been used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
43. Are all corrections noted on the overtime report(s)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
44. Are overtime reports approved and dated by the commander after reconciling?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
45. Is the original overtime report(s) forwarded to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
46. Is a copy of the overtime report forwarded to Division by the 10 th of the month (except COZEED/MAZEED)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
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INSPECTION PROGRAM

CHAPTER 8

COMMAND REIMBURSABLE SERVICES

47. Are all COZEEP/MAZEEP reports forwarded to Division by the 15 th of the month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
48. Are all COZEEP/MAZEEP reports approved by Division and forwarded to FMS by the 30 th of the month?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
49. Is a copy of the CHP 71 attached to the overtime report(s) when there are reimbursable nonuniformed personnel hours?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: None Checked
50. Is an amendment of service agreement requested prior to the fund being depleted, and if necessary, is the service discontinued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
51. Are all payments made directly to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
52. Does the command require delinquent companies to pay outstanding invoices in full prior to providing any future services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: HQ